

SBA

SOP 00 10 4

Mail Management Program

Office of Administration

U.S. Small Business Administration



**SMALL BUSINESS ADMINISTRATION
STANDARD OPERATING PROCEDURE**

NATIONAL

| | | | |
|--|--------------------------|----------------------|-----------|
| SUBJECT: Mail Management Program | S.O.P | | REV |
| | SECTION 00 | NO. 10 | 4 |

INTRODUCTION

1. Purpose. To establish and implement Agency-wide standards and procedures for the Mail Management Program.
2. Personnel Concerned. Headquarters and field office personnel responsible for the creation of SBA mail and the management and operations of the SBA Mail Management Program.
3. Directives Canceled. SOP 00 10 3.
4. Originator. Office of Administrative Services.

| | | |
|--|--|----------------------------------|
| AUTHORIZED BY: Thomas A. Dumaresq Assistant Administrator for Administration | | EFFECTIVE DATE 9/23/99 |
| | | PAGE 1 |

Table of Contents

| Paragraph | Page |
|--|------|
| Chapter 1. Basic Provisions of Mail Management | |
| 1. What is the Purpose of the Mail Management Program? | 9 |
| 2. What are the Objectives of the Mail Management Program? | 9 |
| 3. What Responsibilities Does Headquarters Have for Mail Management? | 9 |
| 4. What Responsibilities Do the Various Offices Have for Mail Management? | 10 |
| Chapter 2. Official SBA Mail and Mail Markings | |
| 1. What are the Official Types and Approved Uses of Official SBA Mail? | 11 |
| 2. What is the Official Business Reply Postal Marking and How Do You Use It? | 12 |
| 3. What is the Official Permit Imprint Postal Marking and When Can You Use It? | 13 |
| Chapter 3. Mail Classes and Procedures | |
| 1. What Basic Classes of Mail Does SBA Use? | 15 |
| 2. What are the Different Types of Bulk Mailings? | 16 |
| 3. What are the Guidelines for Classifying Mail as Presort or Bulk? | 18 |
| 4. What is Consolidated Mail? | 18 |
| 5. What is USPS Express Mail? | 19 |
| 6. What Policies Deal With Mail that Has Insufficient Postage? | 21 |
| Chapter 4. Special Mail Service | |
| 1. What Special Mail Services are Available? | 23 |
| 2. What is Registered Mail? | 23 |

| | | |
|----|--|----|
| 3. | What is Certified Mail? | 23 |
| 4. | What is Insured Mail? | 24 |
| 5. | What is Restricted Delivery Mail? | 24 |
| 6. | What is Contracted Overnight Mail? | 25 |
| 7. | Can I Use the SBA Facsimile System Instead of Expedited Mail Services? | 27 |
| 8. | What Records Must You Keep When Using Certified, Registered, and Other Special Services? | 27 |
| 9. | What Documentation Must You Keep to Show You Used a Special Mail Service and Receipt? | 28 |

Chapter 5. Preparing and Handling SBA Mail

| | | |
|----|---|----|
| 1. | What is a Mail Station and How Do You Organize It? | 29 |
| 2. | How Do Mail Stations Process Incoming Mail? | 30 |
| 3. | How is Outgoing Mail Processed in Mail Stations? | 31 |
| 4. | What Reference Materials Can You Get at the Mail Stations? | 32 |
| 5. | How Does an Office Handle Incoming Mail? | 33 |
| 6. | How Does an Office Handle Outgoing Mail? | 33 |
| 7. | How Does an Office or Mail Station Handle Classified Mail? | 35 |
| 8. | What are the Requirements for Using Contractors to Handle Bulk Mailings? | 36 |
| 9. | How Do Service Corps of Retired Executives (SCORE) Members Handle Mailings? | 37 |

Chapter 6. Headquarters Mail and Messenger Service

| | | |
|----|--|----|
| 1. | How Does Headquarters Handle and Distribute Mail? | 39 |
| 2. | How is Headquarters Mail for SBA Field Offices Handled? | 39 |
| 3. | How Does Headquarters Use Mailing Labels and Distribution Lists? | 39 |
| 4. | How are the Distributions of Publications Printed by the Government Printing Office (GPO) and Its Contractors Handled? | 40 |

| | | |
|----|--|----|
| 5. | What is SBA's Headquarters Procedure for Using Overnight Contract Service? | 40 |
| 6. | What are Headquarters Mail Services? | 41 |
| 7. | What are Headquarters Courier Services? | 42 |

Chapter 7. Mail Direct Accountability Procedures

| | | |
|----|---|----|
| 1. | What is Mail Direct Accountability? | 45 |
| 2. | What are the Mail Direct Accountability Procedures? | 45 |
| 3. | What are the Controlling and Verifying Postage Costs? | 45 |

Chapter 8. Cosponsored Mail

| | | |
|----|---|----|
| 1. | What is Cosponsored Mail? | 47 |
| 2. | What are SBA Cosponsor Mail Requirements? | 47 |
| 3. | When Does SBA Prohibit You from Using SBA Mailing Privileges in Cosponsorships? | 47 |
| 4. | What are the Policies and Procedures for Using SBA's Mailing Privileges for Cosponsorship Activities? | 48 |
| 5. | What Mailing Rules Must You Follow When Doing a Cosponsored Mailing? | 48 |

Chapter 9. Suspicious Mail Screening and Detection

| | | |
|----|---|----|
| 1. | How Does SBA Screen Mail and Other Packages Delivered to Mail Stations? | 53 |
| 2. | How Can I Identify a Suspicious Mailing? | 53 |
| 3. | What Must SBA Administrative and Other Personnel Do With Suspicious Mail? | 54 |

Chapter 10. SBA Mail Equipment, Vendor, Maintenance, and Ownership

| | | |
|----|---|----|
| 1. | What Vendors Does SBA Use for Its Mail Equipment? | 55 |
| 2. | What Does the Pitney Bowes Contract Cover? | 55 |

| | | |
|-----|--|----|
| 3. | What Doesn't the Contract Cover? | 55 |
| 4. | How Do Field Offices Obtain New Mail Equipment? | 55 |
| 5. | How Do Disaster Offices Obtain Mail Equipment? | 55 |
| 6. | What Must Disaster Office Mail Personnel Do When They Obtain Mail Equipment and When the Disaster Office Closes? | 55 |
| 7. | Who Pays for the Maintenance on SBA Owned Mail Equipment? | 56 |
| 8. | Who Do You Call When You Need Mail Equipment Service? | 56 |
| 9. | How Do You Handle Postage Meter Funds When Pitney Bowes Meters are Installed in a Disaster Office? | 56 |
| 10. | How Do Disaster Offices Handle Postage Meter Funds When They Remove Meters? | 56 |
| 11. | What Should I Do With Pitney Bowes Invoices for Maintenance and Meter Rentals? | 56 |

Appendices

| | | |
|-----|--|----|
| 1. | Index of Forms and Reports | 57 |
| 2. | Definitions | 59 |
| 3. | List of Current Telephone Numbers | 63 |
| 4. | Official Business Reply Postal Marking (Indicium) | 65 |
| 5. | Official Business Reply for Metering Envelope - Layout Guidelines | 67 |
| 6. | Official Permit Mail Marking (Indicia) | 69 |
| 7. | Express Mail | 71 |
| 8. | PS Form 3600-PM, Postage Statement – Priority Mail Permit Imprint | 73 |
| 9. | PS Form 3600-R, Postage Statement – First-Class Mail Permit Imprint | 75 |
| 10. | PS Form 3602-R, Postage Statement – Regular Standard Mail Permit Imprint | 77 |
| 11. | Label 200, Registered Mail | 79 |
| 12. | Certified Receipt Label | 81 |
| 13. | PS Form 3811, Domestic Return Receipt | 83 |
| 14. | FedEx Airbill Form | 85 |

| | | |
|-----|---|-----|
| 15. | PS Form 3877, Mailing Books | 87 |
| 16. | PS Form 3817, Certificate of Mailing | 89 |
| 17. | Headquarters Mail Codes | 91 |
| 18. | Field Office Mail Codes | 97 |
| 19. | SBA Form 9, Record of Incoming Accountable Mail | 101 |
| 20. | PS Form 3615, Mailing Permit Application and Customer Profile | 103 |
| 21. | SBA Form 567, Request for Special Handling Services | 105 |
| 22. | SBA Form 1741, U.S. SBA Cosponsorship Agreement | 107 |
| 23. | Bombs by Mail | 111 |
| 24. | Letter and Package Bomb Indicators | 113 |

Chapter 1

Basic Provisions of Mail Management

1. What is the Purpose of the Mail Management Program?

The purpose of the Mail Management Program is to provide guidelines on the processing of SBA mail and other related activities under the authority of 41 CFR part 101-9. The Mail Management Program includes:

- (a) The standards and procedures for the management, receipt, delivery, collection, and distribution of all Small Business Administration (SBA) mail following the requirements of the U.S. Postal Service (USPS) and the General Services Administration (GSA);
- (b) Procedures for gathering important information about the volume and types of mail SBA processes and about time requirements for mailing within SBA;
- (c) A review of SBA mail practices and procedures to help you find opportunities for improvement and simplification;
- (d) Examples of mailing options to help you determine postage cost;
- (e) Procedures for maintaining SBA mailing records for review by USPS, as required by 39 U.S.C. 3209; and
- (f) Procedures for setting up mail stations as the place for you to receive, control, deliver, and handle official SBA mail.

2. What are the Objectives of the Mail Management Program?

SBA designed its Mail Management Program to:

- a. Ensure that you handle all official mail in an efficient, speedy, and cost effective manner, following the USPS requirements; and
- b. Provide timely and efficient mail service throughout SBA at minimum cost.

3. What Responsibilities Does Headquarters Have for Mail Management?

The Office of Administrative Services (OAS) manages the Mail Management Program. The OAS is responsible for:

- a. Developing and implementing SBA's Mail Management Program under 41 CFR 101-9.201; and

- b. Designating a mail manager to:
 - (1) Manage SBA's Mail Management Program; and
 - (2) Serve as Headquarters Mail Coordinator.

4. What Responsibilities Do the Various Offices Have for Mail Management?

In each field office, the office head must designate a mail coordinator who will carry out the management duties in this SOP. In Headquarters, the Director of OAS designates the mail coordinator. Each mail coordinator must:

- a. Contact his/her local USPS customer service representative to discuss official SBA mail requirements;
- b. Ensure that mail handling practices and equipment conform to postal regulations;
- c. Establish and maintain a system for tracking SBA mailings as outlined in this SOP;
- d. Maintain close contact with all program areas to make it easier to manage SBA mail; and
- e. Be the contact person for the Mail Management Program within his/her office.

Chapter 2

Official SBA Mail and Mail Markings

1. What are the Official Types and Approved Uses of Official SBA Mail?

- a. Official Types of SBA Mail. The official types of SBA mail are all metered, business reply, and permit imprint mail used for official SBA business that SBA offices send or receive. This mail includes all directives, letters, mailgrams, memoranda, postcards, documents, packages, publications, and other communications about official SBA business. An SBA imprinted postal marking called indicia is used on these mail pieces to indicate postage paid. The postal marking is information required by law or postal regulation that must be printed on all Government envelopes, labels, post cards, and self-mailers. The postal marking must include:
 - (1) SBA's return address in the upper left corner of the mail piece; and
 - (2) The phrase, "Official Business, Penalty for Private Use, \$300," in the designated space below the return address (see appendix 4).
- b. SBA Authorized Use.
 - (1) You are only authorized to use this mail service for SBA official business if you are a SBA employee or someone that SBA has authorized to use its official mail according to the USPS "Domestic Mail Manual (DMM)," 39 CFR part 111, and this SOP.
 - (2) If you are a Service Corps of Retired Executives (SCORE) member, you can use SBA mailing privileges only as stated in U.S. Postal Regulations and paragraphs 2-3 and 5-9 of this SOP.
- c. SBA Unauthorized Uses.
 - (1) You must not use the SBA postal markings and meters to mail items that are not related to official Federal Government business.
 - (2) You must not use the official SBA postal markings or mailing privileges for unofficial or personal purposes. This includes party, farewell, and retirement announcements; personal notes, greeting cards; and resumes, SF-171's, "Application for Federal Employment."
 - (3) As a Government employee, you must not use SBA mailing privileges for personal or private business. If you do, SBA can punish you in accordance with SOP 37 52, "Discipline and Adverse Actions," chapter 2, and/or fine

you \$300.00.

2. **What is the Official Business Reply Postal Marking and How Do You Use It?**

SBA uses Business Reply postal markings to allow individuals or organizations to send requested information to SBA without placing a postage stamp on the envelope or post card. The official SBA business reply postal marking has horizontal bars on the right side of the mailing piece and the phrase “NO POSTAGE NECESSARY IF MAILED IN THE UNITED STATES” in the upper right hand corner of the envelope, label, or card (see appendices 4, 5, and 6). You must prepare SBA mail that we distribute for reply purposes in this format. SBA business reply postal markings may only be used according to the following guidelines.

- a. **SBA Authorized Use.** If the material is not required by law, but will benefit SBA, the designated mail coordinator may authorize you to use the business reply mail markings if:
 - (1) The mail coordinator at your office location gives you permission when material is not required by law but will benefit SBA;
 - (2) You are collecting information from individuals and groups outside of SBA (see SOP 00 30, “The Forms Management Program”); or
 - (3) You are returning mail to an SBA office or a Post Office box that SBA designated for that office.
 - (4) Some examples of authorized use of business reply mails are:
 - (a) You send important official business information to an addressee organization and request that your file copy be time-stamped and returned;
 - (b) You are conducting a survey that the Office of Management and Budget authorizes; or
 - (c) You request a court to send you information you need to process a case you are working on.
- b. **SBA Unauthorized Use.** Unauthorized use is when you use SBA business reply postal markings for mailings not authorized by the mail coordinator and the provisions of this SOP. You may not use the business reply postal markings if the law requires that the individual, group, or organization replying give the material to SBA. This restriction applies to:
 - (1) Returning business reply mail to SCORE chapters; and/or

- (2) SBA co-sponsors, such as colleges, universities, Chambers of Commerce, or organizations that SBA pays to process mail.
- c. Cost Considerations and Use. SBA's postage costs are extremely high. To stabilize these costs, all mail coordinators must closely monitor and evaluate how to use SBA postal markings. The mail coordinators must:
 - (1) Recommend that you use reply postcards whenever possible;
 - (2) Keep track of your business reply mail as you use it (see paragraph 7-2 of this SOP); and
 - (3) Use only SBA official nationwide business reply permit number: 12303. Business reply mail is used for collecting information from the public when the Office of Management and Budget approves. See appendix 5 for a sample of the business reply format.

3. What is the Official Permit Imprint Postal Marking and When Can You Use It?

- a. Description of the Official Permit Imprint Postal Markings. The official SBA permit imprint postal marking is the rectangular box in the upper right hand corner of a mailing piece (see appendix 6). To be an official permit postal marking, the box must contain the following typed lines:

(Class of Mail)
Postage and Fees Paid
U. S. Small Business Administration
Permit No. G-82

The official SBA permit number, G-82, applies to all official SBA permit imprint mail.

- (1) General SBA Use. Permit imprint postal markings must be used for all contract or co-sponsored mailings or for all mail that is processed and taken to the Post Office by non-Agency personnel. They must also be used whenever SBA sends mail as Presorted, First-Class, or Standard A and B Bulk Rate. Whenever you use the permit imprint postal markings, you must submit the appropriate mailing statement when the mail is taken to the Post Office.
- (2) Office Use with Mail Materials. You can only print postal markings on envelopes, labels, post cards, or self-mailers.

- (3) Required Use. Using the imprint postal marking makes it easier to send large volume mailings of 200 pieces or more and allows us to document the cost of the mailings. These mailings can be permit imprint postal markings for all First-Class, Presorted, and contractor or cosponsored mailings; and Standard Mail (A) and Standard Mail (B) contractor or cosponsored mailings.
- b. Non-Agency Personnel Use. Non-Agency personnel may use SBA permit postal markings if the SBA included them in the categories in paragraph 2-1(b) of this SOP. SBA limits such use to the requirements of chapter 8 of this SOP. If you are non-Agency personnel who meets the requirements of chapters 2 and 8, you may use the imprint postal markings in the following cases:
 - (1) When the mail coordinator at your mail station, ensures that the mailing complies with USPS regulations for official permit imprint postal markings and that the mailing supports SBA programs and functions;
 - (2) You must have written authorization before you send the mailing to the Post Office; and
 - (3) When you prepare and send mail to a Post Office, and charge SBA for the postage cost.
- c. SBA Official Permit Imprint Postal Marking Restrictions. Non-SBA organizations that are authorized by SBA to use the imprint postal marking for its contractor or cosponsor mailings must not:
 - (1) Use any return address in the mailing pieces other than that of the SBA office that authorized the mailing or an SBA designated Post Office box;
 - (2) Show any name on the outside of the mailing piece other than that of the SBA office that authorized the mailing (see appendices 4 and 5); or
 - (3) Enclose any material not authorized by SBA. Such material is in violation of postal regulations and increases weight and SBA postage costs.

Chapter 3

Mail Classes and Procedures

1. What Basic Classes of Mail Does SBA Use?

SBA uses the following basic classes of mail. You must use the most economical class of mail based on your needs.

- a. First-Class. SBA handles First-Class mail the same day and such mail is not subject to postal inspection. The following mail pieces must be sent First-Class.

- (1) Individual Pieces. Letter-size, up to 13 ounces.
- (2) Post Cards. Single paper stock sheets with an imprinted or embossed stamp. Post cards must meet the size and postal marking requirements of the USPS DMM.
- (3) Enveloped or Packaged Material. Handwritten or typewritten material; material sealed against postal inspection; bills and statements of account; price lists with written-in figures changing items or prices; and blank printed forms filled out in writing, including canceled or un-canceled checks.

Note: A computer printout may or may not be First-Class material. It depends on the printout content and SBA's need to maintain confidentiality.

- b. Priority. SBA sends the following types of mail via Priority mail.

- (1) Mail that weighs between 13 ounces and 70 pounds and requires speedy handling.
- (2) Mail that weighs less than 13 ounces and is time-sensitive. Priority mail costs start at \$3.20 and are based on a minimum of 2 pounds and up to 5 pounds. This cost is constant for a package that is up to 5 pounds and as long as it is sent "within or in" the United States and its possessions, such as Guam and Puerto Rico. The cost for Priority mail that is over 5 pounds is based on the weight and zone it is sent to.
- (3) The U.S. Postal Service requires that Priority mail be delivered within 2 days to most locations in the United States, however, this service is not guaranteed.

Note: We encourage you to use the supplies that the Post Office provides free of charge, such as Priority mail envelopes, labels, and boxes.

- c. Standard Mail (A) (formerly Third-Class). The Post Office treats mail that weighs less than 16 ounces and is not marked First-Class as Standard Mail (A).
- d. Standard Mail (B) (formerly Fourth-Class). You do not have to send mail weighing between 16 ounces and 70 pounds as First-Class. If you do not mark this mail, the Post Office treats it as Standard Mail (B).
- e. Express Mail. USPS Express Mail provides timely handling and transport of materials that must reach a particular destination faster than regular mail. It is the only class for which USPS will guarantee delivery within a specified time or offer a refund if delivery is not met.
- f. Bulk Mail. Bulk mailings are generally Standard Mail (A) and (B) (formerly Third and Fourth Class). Since bulk mailings eliminate the need for certain USPS operations, the cost of these mailings is less.

2. What are the Different Types of Bulk Mailings?

a. First-Class Presort Mail.

- (1) Definition. All pieces of First-Class mail that you have sorted and grouped by ZIP Code or other separations recommended by the USPS DMM so that it meets the USPS criteria for the lower First-Class presort rates. The criteria for First-Class presort mail includes:

- (a) A minimum of 500 mailing pieces;
- (b) Each piece must not weigh more than 13 ounces;
- (c) You must individually address all pieces;
- (d) All pieces must be in the same processing category;
- (e) You must charge the same rate for each piece;
- (f) You must arrange all pieces in ZIP Code order (ZIP + 4 order is preferred);
- (g) The pieces must be part of a single mailing; and
- (h) You must bring all pieces to the Post Office at the same time.

- (2) First-Class Presort Mail Procedures and Fee. To process this class of bulk

mailings:

- (a) You must handle all First-Class presort mail using the DMM criteria for this class of mail;
- (b) You must complete a PS Form 3600R, "Postage Statement – First Class Mail Permit Imprint," and you must give it to the Post Office with each mailing (see appendix 9);
- (c) You must use only the official SBA permit imprint postal marking for bulk, First-Class presort mailings (see paragraph 2- 3); and
- (d) You must not provide the Post Office with cash or money orders for this class of mailing; and
- (e) SBA pays an annual First-Class presort fee for each Post Office from which an SBA office sends such mail.
- (f) All fees are paid by OAS through the Official Mail Accounting System (OMAS) and you must always use the lowest possible class to reduce mail costs.

b. Standard Mail (A) Reduce Bulk Mail.

- (1) Definition. To qualify for discount rates, you must address each piece to different addresses; have at least 200 mail pieces or weigh 50 pounds; and presort all pieces by the five-digit ZIP code and carrier route.
- (2) Standard Mail (A) Bulk Mailing Procedures and Fees. To process this class of bulk mailing:
 - (a) You must follow the USPS DMM criteria;
 - (b) You must complete a PS Form 3602-R, "Postage Statement – Regular Standard Mail Permit Imprint," and you must give it to the Post Office with each mailing (see appendix 10); and
 - (c) You must use only the official SBA permit imprint postal marking for bulk presort mailings (see paragraph 2-3a(1)).
 - (d) All fees must be paid by OAS through the office mail accounting system; and, you must always use the lowest possible class to reduce mail costs.

c. Standard Mail (B) Reduced Bulk Mail.

- (1) To qualify for these rates you must have 300 or more pieces of identical weight that are being mailed to the same Zip Code. You must submit a PS Form 3602-R to the Post Office with the mailing (see appendix 10).
- (2) Standard Mail (B) Bulk Mailings Procedures and Fees. To process this class of bulk mailing:
 - (a) You must follow the USPS DMM criteria;
 - (b) You must complete a PS Form 3602-R and you must give it to the Post Office with each mailing (see appendix 10); and
 - (c) You must use only the official SBA permit imprint postal marking for bulk presort mailings (see paragraph 2-3a(1)).
 - (d) All fees must be paid by OAS through the office mail accounting system; and, you must always use the lowest possible class to reduce mail costs.
- d. Non-Qualifying Bulk Mailing Pieces. It is possible to have mail that you cannot sort using the USPS specifications for presort. The USPS considers this type of mail residual mail. You can count it toward the minimum volume requirement of a mailing, but it does not qualify for the lowest presort rate. You can treat any mail that does not qualify as presort as residual mail.

3. What are the Guidelines for Classifying Mail as Presort or Bulk?

To reduce mail costs you should use presort or bulk mail procedures on all mailings meeting the USPS requirements. For contractor and cosponsored mailings, you must ensure that all related mailings use these lowest cost procedures as much as possible.

4. What is Consolidated Mail?

Consolidated mail is the process of placing individual pieces of mail going to the same location into one large envelope or container. For example, if you are located in an SBA field office and you have several pieces of mail addressed to personnel in another SBA field office or locations, put all of that mail in one envelope and address it to the office. Since the USPS weighs and treats it as a single piece, it is more cost effective than individual mailings.

- a. You must consolidate:
 - (1) Pieces of mail addressed to the same SBA location via the USPS, and mail them all in the same envelope or container; and
 - (2) Pieces of mail addressed to other agencies or entities.

- b. If you are sending mail to a location that receives multiple pieces of mail, you must use plain envelopes, not preprinted with SBA address or permit information, which will then be placed in a preprinted SBA or USPS envelope for mailing.

5. What is USPS Express Mail?

USPS Express Mail is an expedited delivery service between the United States and designated domestic and international addresses. To reduce mail costs, the mail coordinator must keep the use of Express Mail to a minimum, and use the Government Overnight Contract Carrier when the sender requires expedited delivery (see paragraphs 4-6c and 4-6d).

- a. Types of Express Mail. Express Mail offers five basic types of expedited delivery for material up to 70 pounds and with a combined length and girth of 108 inches. The types of USPS Express Mail are as follows.
 - (1) Express Mail Next Day Service from the Post Office to Intended Recipient. The USPS delivers this material to the recipient's address by 3:00 p.m. the next business day. In some major cities the USPS delivers material by noon. You must contact the Post Office for exact delivery information.
 - (2) Express Mail Next Day Service from Post Office to Post Office. The USPS will deliver material to the Post Office specified by the sender. The material will be available for pickup by the intended recipient any time after 10:00 a.m. the next business day.
 - (3) Express Mail Second Day Service. You must take this type of material to a Post Office before 5:00 p.m. for delivery to the intended recipient by 3:00 p.m. on the second business day. This service is available to any destination that the USPS does not list in the DMM Next Day Service directory.
 - (4) Custom Designed Express Mail Service. This is a special type of expedited U.S. domestic mail service that is available to and from any location in the United States. To use this service you must have a service agreement between SBA and the USPS in place.
 - (5) Express Mail Military Service (EMMS). EMMS is an expedited mail service available between the United States and a designated Army Post Office (APO) or Fleet Post Office (FPO). You must give EMMS items to mail by the times authorized by the local Post Office.

- b. Limitations and Use of USPS Express Mail. The following procedures and restrictions limit your use of USPS Express Mail:
- (1) You must obtain approval from the responsible SBA mail coordinator before using USPS Express Mail;
 - (2) USPS Express Mail is not available to all cities in the United States; and
 - (3) Your Express Mail delivery guarantee is based on the time your USPS clerk logs the material in, not on the time you bring the package to the Post Office.
- c. Express Mail Delivery Requirements. The requirements for Express Mail delivery within the United States are as follows.
- (1) You should enclose the material in a USPS Express Mail envelope. The blue and orange color on the USPS Express Mail envelope speeds up the processing. If an Express Mail envelope is not available, you may use an SBA penalty envelope, or a plain envelope or package. The Express Mail package must have a postage meter tape postage.
 - (2) Complete the appropriate label for the type of service you want and attach the label to the envelope or box.
- Note: All cities are not on the Express Mail Network for next day delivery. However, the USPS says that it can reach all other locations on the second day. You use the same label for Next Day and Second Day Service.
- (3) Attach a meter strip with the appropriate amount of postage. Remember, if you require a return receipt the postage cost of the return receipt is added to the Express Mail fee.
 - (4) Type or write the word "METERED" in bold letters in the Billing Number/Agency Code block on the Express Mail label to ensure that the Post Office does not bill the Agency twice for the Express Mail.
- d. Express Mail Cost, Accountability, and Authorization Procedures. SBA mail cost, accountability, and authorization procedures for Express Mail are as follows.
- (1) The minimum cost is based on an individual weight of a 1/2 pound and is much more expensive than the Government Overnight Contract Carrier.
 - (2) If you do not meter Express Mail, the USPS will see it as a direct accountability mailing charge and will identify it separately on USPS billings.

- (3) Authorization to Use Express Mail. Because Express Mail is the most expensive class available from USPS, you may not use this service without your mail coordinator's prior approval.

Use Express Mail only to send First-Class material that you cannot send by Government Overnight Carrier and only when the recipient must receive the material by the next day to avoid harm to SBA (for example, mail that you address to a Government Overnight Carrier cannot deliver to a Post Office Box).

The mail coordinator will decide whether you are allowed to use this service by examining whether you considered a lower cost mail service and the reasons you have for not using such a service.

6. What Policies Deal With Mail that Has Insufficient Postage?

- a. You must ensure that all mail, including special non-prepaid services, has sufficient postage. If the USPS receives mail with insufficient postage, the USPS will:
- (1) Mark the item showing the additional postage due;
 - (2) Return the item to the originating office without attempting delivery, as if there was no postage; and
 - (3) Deliver the item to the intended recipient only when SBA or the intended recipient pays the additional postage due.
- b. If the intended recipient refuses to pay the additional postage due for:
- (1) First-Class mail showing a return address, the USPS will return it to SBA and deliver it when SBA pays the additional postage due;
 - (2) Mail other than First-Class Mail showing a return address, the USPS will return it to the sender and deliver it when SBA pays the additional postage due, the forwarding postage (if any), and the return postage; and
 - (3) Mail that does not show a return address, the USPS will dispose of it under the current postal regulations.

Chapter 4

Special Mail Service

1. What Special Mail Services are Available?

- a. Registered Mail;
- b. Certified Mail;
- c. Insured Mail;
- d. Collect on Delivery (COD) Mail;
- f. Restricted Delivery; and
- g. Contracted Overnight Mail.

2. What is Registered Mail?

Registered mail is the most secure service USPS offers. However, it is a very slow and expensive system. It provides added protection for valuable and important mail. It uses a system of receipts to monitor the mail's movement from when the Post Office first accepts it for mailing to the time when the intended recipient receives it. The instructions in this paragraph regarding the use of registered mail replace all other SBA rules on the use of registered mail (see appendix 11 for a sample Label 200).

- a. You must send mail as registered mail when you are sending:
 - (1) Checks, Notes, Certificates of Deposits; and
 - (2) Classified national security information.
- b. You must prepare registered mail by following the requirements of this SOP and the DMM.
- c. You must keep a record of registered mail as paragraphs 4-8 and 4-9 require.
- d. So SBA may keep track of mail with a registry fee of more than \$100, you must follow the requirements of paragraphs 7-2 and 7-3.

3. What is Certified Mail?

Certified mail service gives the sender a mail receipt and a record of delivery that is kept by the receiving Post Office. You must send Certified mail as First-Class or Priority mail

and the USPS handles it as First-Class mail. Certified mail is not kept under lock and key nor is it logged in at the originating Post Office. When certified mail reaches the destination Post Office, the Post Office logs it in at that point. The USPS does not typically provide insurance coverage.

The instructions in this paragraph replace all other SBA rules on the use of Certified mail.

- a. You must send as Certified mail all materials that require evidence of mailing and a record of delivery (see appendix 12 for a sample Certified Receipt Label). If you only need evidence of mailing, you must follow the instructions of paragraphs 4-8 and 4-9.
- b. You must follow the instructions of the DMM when sending Certified mail.
- c. You must attach to Certified mail a PS Form 3811, "Return Receipt," if you need evidence of delivery (see appendix 13).
- d. You must keep a record of certified mailing as described in paragraph 4-8.

4. What is Insured Mail?

Insured mail service gives the sender an insured mail receipt of the material. This record is kept by the Post Office and ensures that the sender will receive payment for the mail material if it is lost or damaged. The fee for this insurance is based on weight and mail contents, as directed by the office sending the material and the DMM.

The following policies control any attempt to insure SBA mail.

- a. Generally, the Federal Government does not authorize Federal agencies to use insured mail; and
- b. You must contact the Agency Mail Manager for directions if you need to insure mail.

5. What is Restricted Delivery Mail?

Restricted delivery mail allows a sender to require delivery of the material only to the intended recipient. When using this service, you must do the following.

- a. Specifically authorize in writing that only the intended recipient must receive the material. This service:
 - (1) Is available only for items that you address to a specific individual; and
 - (2) Is available for mail that you send as registered or certified.

- b. You can send restricted delivery mail addressed to:
 - (1) Officials of executive agencies;
 - (2) Members of the legislative and judicial branches of the U.S. Government or of the States and possessions and their political subdivisions; and
 - (3) Members of the diplomatic corps or to individuals authorized to receive mail.

6. What is Contracted Overnight Mail?

Federal Express (FedEx) was awarded the GSA Contract for small package delivery. According to this contract, No. GS-23-F-9656D, FedEx provides Government agencies, (including SBA) with overnight delivery at discount prices. While FedEx offers many overnight services, this contract only allows SBA to use the Priority Overnight and FedEx 2DAY services. A description of these services and supplies are as follows.

- a. Types of FedEx Overnight Mail.
 - (1) Priority Overnight. All Federal agencies must use FedEx for small package deliveries up to 150 pounds per package that require priority overnight delivery. The contract with FedEx does not include delivery to USPS Post Office boxes. It provides next business day service with three delivery times ranging from 10:30 a.m. in major cities to 4:30 p.m. in less populated areas. You must consult your FedEx U.S. Government Contract Service Guide or contact FedEx (see appendix 3) for delivery information.
 - (2) FedEx 2DAY. This service provides you a money saving option for delivery by the second business day within the continental United States. Your packages will be delivered by 4:30 p.m. on the second business day after mailing.
- b. FedEx Supplies and Services. Your FedEx service representative will provide you with airbill forms (see appendix 14); preprinted envelopes, boxes, and tubes; package tracking information; pickup Service; FedEx software for tracking your shipment using the FedEx Powership Equipment that is installed in the mailroom of high volume users; additional FedEx services referred to in the Service Guide; and a copy of the FedEx U.S. Government contract.
- c. FedEx Requirements. All SBA offices must use FedEx when a package requires overnight delivery. Each field office, with the exception of the Central Office Duty Stations (CODs), must give a purchase order to Federal Express to cover the cost of overnight shipment for their office. At Headquarters, the cost is centrally

funded by OAS for Headquarters only.

For each field office, the budget officer or the administrative officer is responsible for paying the cost relating to Federal Express.

- d. Pickup and Delivery Requirements The following requirements apply to pickup and delivery of FedEx packages.
- (1) The mail coordinator must designate a single pick up point at each SBA location.
 - (2) In any office where you send shipments on a daily basis, you must schedule a pickup through the mail coordinator.
 - (3) You must follow FedEx's instructions when filling out the airbill.
 - (4) You must enter the total number of packages being sent in the "Pieces" column on the airbill before making copies.
 - (5) You must distribute the necessary copies of the completed airbill. If you are sending multiple packages to the same address, you can make copies of the original airbill, attach the original to the first package and a copy to each additional package. Remember to keep the sender's copy for your file because it has the tracking number.
 - (6) You must count each item and on each item write its number and the total number of items in the shipment. For example, 1 of 3, 2 of 3, 3 of 3, etc.
- e. FedEx Overnight Contract Carrier Limitations GSA awarded FedEx the contract for small package delivery. FedEx can deliver letters that are extremely urgent, and that you need delivered by 10:30 a.m., the next business day. There are some limitations, as follows.
- (1) You must place letters that you need shipped for the next business day in envelopes or boxes provided by FedEx .
 - (2) Federal Express cannot deliver material to a Post Office box. Only the USPS can deliver to a Post Office box.
 - (3) The length of the package must not exceed 119 inches.
 - (4) The combined length and girth of a package must not exceed 165 inches.
 - (5) The weight of each package must not exceed 150 pounds.

- (6) FedEx First Overnight was not included in the GSA contract; therefore, you cannot use it.
- (7) When you ship expensive equipment, you must state the replacement value at the time of shipment so FedEx can reimburse SBA for the full value in the event of loss or damage beyond repair. If you do not state a value, FedEx will only reimburse SBA at a rate of \$250.00 or \$9.07 per pound, whichever is more.
- (8) You must give all claims for damage in writing to FedEx within 15 days after delivery of the shipment. You must give claims for lost items in writing within 90 days. However, you must always notify FedEx immediately by telephone.
- (9) You cannot use domestic airbills for shipments between the United States and Puerto Rico, Guam, the Virgin Islands, or any other U.S. territory and possession.
- (10) If you tell FedEx to deliver an item without getting a signature, FedEx will not assume liability for the shipment.

7. Can I Use the SBA Facsimile System Instead of Expedited Mail Services?

Whenever possible, use the SBA's facsimile system instead of expedited mail service for internal Agency correspondence, directives, and reports.

8. What Records Must You Keep When Using Certified, Registered, and Other Special Mail Services?

- a. Certified and Registered Mail. For Certified and Registered mail, all SBA offices must maintain the following information:
 - (1) The certified number assigned to your piece of mail;
 - (2) The date of mailing; and
 - (3) The name, address, and ZIP Code of the intended recipient.
- b. Three or More Items Sent Out at One Time. "Mailing Books," PS Form 3877, is available free to senders who mail an average of three or more parcels at one time. The form provides space for you to enter the description of your items. You must keep copies of the form as your record of mailing (see appendix 15).
- c. Special Mail Services. You must maintain records of all mailing following the requirements in SOP 00 41, "Records Management," and the SBA General

Records Schedule.

9. What Documentation Must You Keep to Show You Used a Special Mail Service and Receipt?

- a. A “Certificate of Mailing,” PS Form 3817, shows that you mailed the item (see appendix 16). You must complete a certificate of mailing when you need proof of mailing, but not proof of delivery. You must pay the cost for the certificate of mailing when you ask for the certificate (see paragraph 2-7).
- b. Return receipts are also an SBA approved method of special mail receipting that you can use to show that your package was received. To get a return receipt you must complete PS Form 3811 (see appendix 13) and attach it to the outgoing, USPS Express, Registered, or Certified mail item. The USPS will return a signed copy of the receipt to you after it delivers the item to the intended recipient.

Chapter 5

Preparing and Handling SBA Mail

1. What is a Mail Station and How Do You Organize It?

A mail station is the area designated for the processing of incoming and outgoing mail. To organize a mail station at an SBA location, you must contact the Agency Mail Manager, and with his/her assistance do the following.

- a. Determine the number of offices the mail station will service.
- b. Designate one mail slot for each office receiving mail and label each slot with:
 - (1) The organizational title; and
 - (2) Location code for SBA locations (see appendix 17 for Headquarters location codes and appendix 19 for field office location codes).
- c. Get the following items for your mail station from the local USPS customer service representative:
 - (1) Scheduling and services information;
 - (2) USPS publications required by this SOP (see paragraph 4-5); and
 - (3) Hampers, trays, and supplies such as Express Mail labels, Certified mail stickers, and USPS return receipts; and
 - (4) Priority mail envelopes and boxes at no cost.
- d. Determine when the USPS will pick up and deliver at your SBA location.
- e. Develop and use an internal mail schedule for SBA delivery and pickup at each location. This schedule must correspond with the USPS schedules for delivery and pickup.
- f. Purchase working tools for the mail station, including padded-bags, brown wrapping paper, nylon filament tape, staple machines, and Registered and Certified mail stickers. USPS provides many of these tools free of charge and others for a nominal fee.

2. How Do Mail Stations Process Incoming Mail?

Mail stations are responsible for processing all mail except litigation documents (as explained in paragraph 5-2b), including letters, memoranda, reports, forms, and other incoming documents addressed to SBA or to people or offices within SBA. As part of this process, each mail coordinator is responsible for receiving, sorting, time stamping (optional), logging, and distributing all documents.

- a. Mail Receipt. You must setup a mail station at your SBA location as the place to initially receive mail addressed to the offices at that location.
- b. Litigation Document Receipt. Mail stations must not accept “service-of-process” litigation documents concerning SBA officials and employees. Such documents may only be accepted by:
 - (1) Headquarters - Office of General Counsel, Office of Litigation; and
 - (2) Field offices - field counsel.
- c. Sorting. Once the mail station receives the mail it must separate it into different categories.
 - (1) Separate mail that you do not have to open before forwarding, such as directives, mail from members of Congress or the White House, special deliveries into appropriate compartments (see paragraphs 5-3c and 5-3f). Sort mail clearly addressed to individuals or offices by name, office name, or location code;
 - (2) Separate mail that the mail station incorrectly receives, such as mail for other agencies or SBA locations, and return it to the Post Office on the next mail pickup;
 - (3) Open mail that isn’t clearly addressed to determine the delivery point; and
 - (4) Place all mail in appropriate mail compartments for pickup and distribution (see paragraphs 5-3c and 5-3f).
- d. Time Stamping. SBA’s Headquarters mailroom does not time stamp mail. The appropriate office is contacted, the mail deliverer is directed to the office’s point-of-contact, and that office is responsible for time stamping mail of legal or monetary importance. In field offices, areas that require time stamping should coordinate mail routing procedures with the mail coordinator. You must periodically check with the mail coordinator and program areas to maintain a current list of the type of documents that must be routed to the appropriate office for time-stamping, for example:

- (1) Contracts;
 - (2) Invoices;
 - (3) Bids; and
 - (4) Appeals.
- e. Control Log. The mail station must maintain a control log using SBA Form 9, “Record of Incoming Accountable Mail,” (see appendix 19) for Certified, classified, and Express Mail. The mail station must:
- (1) Keep a record of the receipt and delivery point of any incoming mail pieces; and
 - (2) Maintain a log that indicates who sent the mail and the recipient be able to track a specific piece of critical mail.
- f. Distribution. Mail stations must distribute mail promptly following the mail station schedule identified in paragraphs 5-2a through 5-2e.

3. How is Outgoing Mail Processed in Mail Stations?

To send outgoing mail, the mail stations’ personnel must do the following.

- a. Place all outgoing mail in the assigned compartment slots when it is received.
- b. Consolidate outgoing mail as much as possible following paragraph 3-3 of this SOP and:
 - (1) Batch mail by sorting it directly into the compartments labeled for each individual office; and
 - (2) For mail being sent to SBA field offices, use priority envelopes and or boxes whenever feasible.
- c. Separate outgoing mail by class as follows:
 - (1) Endorse all mail flats by the class of mail required; and
 - (2) Stamp “Priority” on mail weighing over 13 ounces if you do not use priority mail envelopes or boxes.
- d. Prepare Certified, registered, and Express Mail, following postal regulations (see

paragraph 7-2 and the Domestic Mail Manual).

- e. Check outgoing mail to make certain mail being sent within SBA's internal mail system is not mixed with mail that has to be metered.
- f. Preparing mail for the Post Office.
 - (1) Put all mail in the same direction in postal trays.
 - (2) Separate stamped and metered letter mail and place it in separate letter trays.
 - (3) Separate stamped and metered flat mail and place in separate flat trays.
 - (4) Separate and place Priority flat envelopes (1 inch thick or less) in flat trays, Priority parcels in hampers, non-machineable (anything that won't fit in a sack) in hampers, Express Mail in an Express Mail blue/orange sack, Standard parcels in hampers, International mail in separate trays and/or hampers, and Certified and other Accountables in separate trays and or hampers.
 - (5) Put all Registered mail in a locked pouch.
- g. Stamp "Airmail" on all international mail to make certain the USPS sends it by air only and not by surface transportation.
- h. Contact USPS before sending international mail to find out about restrictions, including size limits, Customs forms, etc.
- i. Ensure that you process overnight mail in time to meet FedEx's pickup schedule.
- j. Send mail to the Post Office as early as possible by sending all processed mail to the Post Office each time a mail truck arrives for pickup.

4. What Reference Materials Must You Have at the Mail Stations?

- a. Have a copy of the current issue of the DMM.
- b. SBA Telephone Directory.
- c. Express Mail Directory.
- d. Local USPS pickup and delivery schedules.
- e. Federal Express (FedEx) U.S. Government Contact Service Guide.
- f. The National ZIP Code Directory (Optional).

- g. A copy of the monthly USPS publication, “Memo to Mailers.” (You may get this free publication from the National Customer Support Center, United States Postal Service, 6060 Primary Pkwy., Suite 201, Memphis, TN 38188-0001.)
- h. USPS Notice 71, “Bombs by Mail.”
- i. USPS Pamphlet titled “Mail Center Security.”
- j. Keep a register of up-to-date telephone numbers for the following:
 - (1) Customer Service Representative;
 - (2) Express Mail Clerk;
 - (3) Registry Section;
 - (4) Postmaster; and
 - (5) ZIP Code information (see appendix 3).

5. How Does an Office Handle Incoming Mail?

Within an SBA location, each office that receives mail must ensure that it forwards all incoming mail to the intended recipient within that office by:

- a. Designating one location for incoming and outgoing mail (see paragraph 6-1 for Headquarters mail stops); and
- b. Assigning an office employee the responsibility of sorting and distributing mail promptly and correctly.

6. How Does an Office Handle Outgoing Mail?

- a. Addressing Your Internal Mail Item. Clearly and properly address all mail by including the following:
 - (1) The recipient’s and senders’ names in the appropriate spaces;
 - (2) The office name;
 - (3) The room number;
 - (4) The appropriate mail code (see appendices 17 and 18); and

- (5) The field office name, when applicable.
- b. Envelopes to Use. If you are sending consolidated mail (see paragraph 3-3), you must use only U.S. Government Messenger Envelopes or white envelopes, which you will place in an official SBA envelope to mail as one item.
- c. You must not use SBA envelopes printed with an SBA return address or permit number for internal SBA mail. (If these envelopes are used, the mailroom may mistake them for envelopes that need to be metered.)
- d. Mail Items to Use. You must use one of the following items for mail that you do not send as a consolidated mailing:
 - (1) A pouch-bag with a pre-addressed label attached to it;
 - (2) A priority mail envelope or box (Note: The use of these envelopes will cost you a minimum of \$3.20); or
 - (3) A small envelope addressed to the intended recipient.
- e. When mailing only one or a few sheets of paper, fold the sheets and place them in a letter-size envelope. If you put mail weighing one ounce or less in a flat size envelope, the USPS will charge additional postage above the regular postage cost, since such mail is processed as Non-Standard (see appendix 3).
- f. Securely attach a routing slip to internal SBA mail if you do not use an envelope.
- g. Do not use Express Mail and other special services, such as Registered, Certified, and Return Receipt Requested, unless there is a need for them.
- h. Prepare mailings for the lowest possible rate.
- i. Use the proper size envelope for material too thick to fit in letter-size envelopes. If the envelope is over stuffed, the Post Office's sorting equipment can damage the material.
- j. Send all mail addressed to one person or location as a single piece of mail to obtain lower rates. Postage cost for First-Class mail is based on ounces. A piece of mail weighing 1 1/2 ounces costs the same as a piece weighing 2 ounces. Up to 13 ounces, there is one rate regardless of distance. Priority mail cost is based on a minimum weight of 2 pounds. If you place material weighing less than 13 ounces in a Priority mail envelope, the Post Office requires you to pay the minimum cost for Priority mail even though the weight qualifies the material to be mailed at the First-Class rate.

- k. Contact the designated mail coordinator for assistance in simplifying mail procedures and reducing mail costs.
- l. Check with the local mail coordinator if you do not know whether to use a pouch. (This applies to all offices other than Headquarters.)
- m. Address mail to the actual place where you want the Post Office to deliver it and be sure to use the correct ZIP Code.
- n. Place outgoing mail in the designated location for mail pickup by SBA mailroom personnel on scheduled mail runs.

7. How Does an Office or Mail Station Handle Classified Mail?

All SBA offices must handle outgoing and incoming classified mail following the requirements of Department of Defense's (DoD's) "Security Practices and Procedures" (DoD 5220.22M, Industrial Security Manual (ISM)) and the requirements in this SOP as follows.

- a. Outgoing Classified Mail. When sending classified mail by USPS you must double wrap all confidential, secret, or top secret materials following these instructions and the instructions in the ISM.
 - (1) You must put all material in a plain envelope that you address with the full address of the sender and the recipient. The material in the plain envelope should include a statement for the addressee to sign, date, and return to you within a defined time frame, indicating that the recipient received the material; and you must place a self-addressed business reply envelope for the recipient to return the statement mentioned above.
 - (2) You must seal the envelope following the instructions in the ISM.
 - (3) After you seal the plain envelope, stamp it on the top, bottom, front, and back using the DoD security classification of the enclosed pieces having the highest security classification level.
 - (4) Write "To Be Opened By Addressee Only," on the envelope.
 - (5) You must put the envelope in an SBA metered mail envelope that you properly address with the full address of the sender and recipient, and seal the metered mail envelope.
 - (6) Do not stamp the security classification (such as the words CONFIDENTIAL, SECRET, and TOP SECRET) on the metered mail envelope.

- (7) You must hand carry the metered mail envelope containing classified material to your mail station and request that USPS send the material by registered mail, return receipt.
- b. Incoming Classified Mail. All mail station personnel must handle incoming registered mail as if it contains classified material and must:
 - (1) Use an SBA Form 9 to control receipt and distribution of classified mail (see appendix 19);
 - (2) Notify the mailroom supervisor or mail coordinator for the recipient's SBA location immediately if the envelope has been damaged, opened, or appears to have been tampered with; and
 - (3) Have the supervisor or mail coordinator immediately notify the Chief, Personnel Security Branch, Investigations Division, Office of the Inspector General at SBA Headquarters if the mail has been tampered with.

8. What are the Requirements for Using Contractors to Handle Bulk Mailings?

- a. In Headquarters the OAS does not currently have a contract with an outside contractor. If an office has mass mailings, in excess of 200 pieces that the mailroom cannot process, they must contact the program office. The program office is responsible for requesting outside contractor services through the Office of Procurement and Grants Management (OPGM).
- b. In field offices the local mail coordinator, or his or her designee must:
 - (1) Specify the city, State, and ZIP Code of the Post Office to which the contractor must deliver the mail; and
 - (2) Verify that the PS Form 3615, "Mailing Permit Application and Customer Profile," (see appendix 20) authorizing a mailing by SBA or its agent is on file before the outside contractor takes the mail to the Post Office. The PS Form 3615 replaces the PS Form 3601, "Application to Mail Without Affixing Postage Stamps."
- c. The Headquarters program office or field office mail coordinator making arrangements for the outside contractor bulk mailing must:
 - (1) Require contractors to mail material using the least expensive rate possible (Note: Keep in mind that even though a contractor may be a non-profit organization, SBA does not qualify for non-profit postage rates);

- (2) Provide the contractor with a sample of the official permit imprint postal marking (see paragraphs 2-3a and 2-3b and appendices 4, 5, and 6);
- (3) Notify the contractor in writing that he or she must complete the PS Form 3602 based on the class of mail being sent;
- (4) Notify the contractor in writing that he or she must give two copies of the PS Form 3602 to the designated Post Office along with the mail; and
- (5) Notify the contractor in writing that he or she must return a copy of the USPS form stating the cost of the mailing to the mail coordinator or the program office. The mail coordinator or the program office must maintain the copy to verify USPS billings.
- (6) Ensure that the return address on the mailing piece is either SBA's office that authorized the mailing or SBA's Post Office box for use by the contractor authorized by SBA's office to receive returned mail.
- (7) Ensure that the name of the contractor does not appear on the mailing piece.

9. How Do Service Corps of Retired Executives (SCORE) Members Handle Mailings?

SBA allows SCORE members to have the following mailing privileges:

- a. SCORE members may use penalty mail stamps; and
- b. SCORE members may use envelopes with pre-printed SBA permit postal markings only if the material relates to SBA programs and they mail the material following the requirements of this SOP.

Chapter 6

Headquarters Mail and Messenger Service

1. How Does Headquarters Handle and Distribute Mail?

- a. Headquarters' mailroom personnel are responsible for delivering incoming mail and material that is brought to the building by the Post Office and other carriers, such as FedEx, Airborne, and United Parcel Service (UPS). The mailroom personnel are also responsible for picking up outgoing mail for postal pickup.
- b. The program offices must designate one location for receiving mail. Whenever possible, this location should be on or near an aisle. If a program office decides that one location is not enough, it may request an additional location. The program office must give this request and its reason to the Director, Office of Administrative Services.
- c. Headquarters personnel are responsible for assigning a person to promptly and accurately distribute mail to their office.
- d. Headquarters offices are also responsible for notifying the mailroom when the location for mail delivery or pickup has changed.
- e. The USPS delivers and picks up mail at the Washington District Office and the Receivership Office once a day.

2. How is Headquarters Mail for SBA Field Offices Handled?

On a daily basis, the personnel of the Headquarters mailroom:

- a. Batch and send mail to SBA field offices, including Priority mail, via the pouch mail system;
- b. Do not put the following types of mail in the consolidated pouch, because each piece must be logged at the Post Office:
 - (1) Certified or Registered mail; and
 - (2) Overnight mail.

3. How Does Headquarters Use Mailing Labels and Distribution Lists?

The Headquarters mailroom has preprinted labels for all SBA locations, and uses other distribution lists for recurring distributions to the same recipients. If your Headquarters office has a regular distribution of a document or publication, please speak with the

mailroom about labels and distribution lists. The program office is responsible for maintaining and updating all distribution lists and must provide the mailroom with the latest electronic versions of all lists. Please be sure to coordinate with the mailroom staff before creating your list to be sure your electronic version will be compatible with the mailroom's equipment.

4. How are the Distributions of Publications Printed by the Government Printing Office (GPO) and Its Contractors Handled?

SBA has the GPO print a portion of its printed material. These materials are distributed in two ways as follows.

- a. **By GPO or Its Contractor.** SBA provides the labels and distribution list to GPO or its contractor, and they make the distribution directly from the printing facility.
- b. **By SBA.** GPO or its contractor delivers the materials to SBA and SBA in turn distributes the material to the appropriate addressees based on the distribution list and labels provided by the office that requested the printing.

5. What is SBA's Headquarters Procedure for Using Overnight Contract Service?

- a. Per the GSA contract, SBA Headquarters must use FedEx for its overnight delivery service, unless the package is being delivered to a Post Office box, in which case the mailroom is authorized to use the USPS Express Mail service.
- b. The FedEx pickup and supplies location is the mailroom. The mailroom has an on-site FedEx terminal for electronically printing airbills. The procedures for using this service are:
 - (1) You must get FedEx supplies from the mailroom;
 - (2) Enclose the material in a FedEx envelope or box and affix a completed SBA mailing label to the package;
 - (3) Complete SBA Form 567, "Request for Special Handling Services" (see appendix 21); and
 - (4) Hand carry the material along with the SBA Form 567 to the mailroom prior to 2:30 p.m. For SBA to have FedEx guarantee pickup by 5 p.m., the mailroom must print the airbills by 3 p.m., and make a list of items it is sending by overnight contract service. This requires that you get the mailroom the necessary information by 2:30 p.m.
 - (5) If you cannot meet the 2:30 p.m. deadline, you must follow these procedures:

- (a) Get a pre-printed airbill from the mailroom and complete it;
- (b) Enclose the material in a FedEx envelope or box;
- (c) Take the package to the FedEx drop box in the lobby of the Washington Office Center prior to 7:00 p.m. You are responsible for verifying the last pickup time on the drop box, as FedEx may change the time without notice. You must also check to be sure that FedEx has not already completed its last pickup before you put your package in the FedEx drop box.
- (d) Contact the Headquarters' receiving office for assistance with large packages. Satellite Headquarters locations should contact FedEx to arrange for pickup of large packages at their location.
- (e) Complete an SBA Form 567 and attach the "Sender's Copy" of the airbill to it. Bring both the SBA Form 567 and the Sender's Copy of the airbill to the mailroom for tracking purposes. The mailroom must be aware of all packages sent FedEx using SBA funds.

6. What are Headquarters Mail Services?

Headquarters' offers mail services such as assembly, stuffing, folding, labeling, and mailing list preparation, in the "mini mail house operation" in the mailroom. The mailroom does not have a contract with an outside mailing house; therefore, offices must schedule these services by contacting the mailroom or making arrangements with the Office of Procurement and Grants Management (OPGM). To schedule these services use the following guidelines.

- a. You must give OAS or the Chief, FMB an SBA Form 2, "Requisition for Supplies, Services, and Federal Assistance." This form should specify the number of mailing pieces, the date the mailroom must mail the items by, and the services you want.
- b. When you plan to do a mass mailing, contact the mailroom to determine if it can meet your requirements in-house before you have the material printed. If your material is in a form that the mailroom cannot process on its equipment, the job will be returned to you.
- c. When sending material to multiple addresses, other than SBA offices, you must give the materials to the mailroom with one of the following:
 - (1) Pre-addressed, one-up pressure-sensitive label which program offices may obtain by contacting the Office of the Chief Information Officer for address information maintained by SBA; contacting the Office of Industrial Assistant, Office of Government Contracting for names of companies that

have submitted profiles to the SBA; or by obtaining labels from outside organizations;

- (2) Pre-addressed envelopes; or
 - (3) An IBM-compatible microcomputer disks containing Microsoft Word compatible lists of names and addresses.
- d. The mailroom can only use typed distribution lists for mailing material to SBA offices. The mailroom has address labels for SBA offices. However, if you want the mailroom to mail the material to specific individuals or office, then you must provide the labels.

7. What are Headquarters Courier Services?

The Office of Administrative Services provides courier service for Headquarters to deliver material that requires same-day delivery to locations in the Washington, DC area. The courier is also used to deliver mail to the Washington District Office and the Receivership Office once a day. The hours of service and procedures for Headquarters courier services are as follows.

- a. Hours of Courier Service. You should make all requests for courier service between 8:00 a.m. and 4:00 p.m. so the courier service can make all deliveries and pickups while the Visitor's Center is open.
- b. Procedure for Requesting Services. The procedure for requesting Headquarters courier services is as follows.
 - (1) You must complete an SBA Form 567, "Request for Special Handling Services" (see appendix 21). You must provide the name of the organization, the intended recipient or point of contact, the street address, room number, and telephone number. You must give all requested information. If any information is missing, the form will be returned to you which will delay delivery of your package.
 - (2) You must attach the completed SBA Form 567 to the material and you must hand-carry it to the Visitor's Center on the ground floor. Do not give your material to a mail clerk or place it in the box for mailroom pickup. If you do not bring the material to the Visitor's Center, OAS will not be responsible for late deliveries or pickups;
 - (3) The Visitor's Center staff must tell the courier company the size of the material, letter, or box when you request the pickup. The courier company dispatches vehicles based on the size and quantity of the items it will pickup. Also, you must make sure that the item is ready for pickup before

making the request, or indicate on the SBA Form 567 when you will have the item;

- (4) You must verify the street address, room number, and telephone number if you have not recently contacted the intended recipient. If you give incorrect delivery information, this will delay the courier in delivering the time-sensitive material;
- (5) You must check the “priority” block on the SBA Form 567 if the mail you need the courier to deliver or pickup is to or from the White House, OMB, or if the material has filing deadlines;
- (6) You must allow a minimum of 2 hours for delivery and pickup service for locations outside of the downtown area; and
- (7) When the courier picks up your mail material from a location outside the downtown area and delivers it to SBA, the Visitor’s Center staff will call you and you must pick it up from the Visitor’s Center promptly.

Chapter 7

Mail Direct Accountability Procedures

1. What is Mail Direct Accountability?

Each fiscal year every Federal agency must budget for mailing to be done by the USPS. SBA's annual mailing estimate is based on the amount SBA will pay for metering, penalty stamps, bulk and co-sponsored mailings, and other mail direct accountability costs. To determine the actual amount of money that SBA owes to the USPS, SBA must keep cost figures on all mailings. Therefore, you must account for all SBA mailings and provide the documentation needed for figuring the budget. SBA uses this information to verify USPS billings that are based on USPS Official Mail Accountability System (OMAS) reports.

2. What are the Mail Direct Accountability Procedures?

- a. Each quarter, SBA receives OMAS billing reports from USPS for all categories of mail, including non-metered direct accountability mail services. These billing reports include charges for:
 - (1) Business Reply Mail;
 - (2) Permit Fees;
 - (3) Penalty Mail Stamps;
 - (4) Bulk Mailings; and
 - (5) Other Miscellaneous Services.
- b. All field offices must ensure that the Federal Agency Cost Code, which is located on the form, is included on all PS Form 3602's or 3600-R's and that their mail stations keep accurate records on the cost for permit imprint mailings.

3. What are the Controlling and Verifying Postage Costs?

SBA postage cost is the total of all metering and other direct accountability mailing charges, such as Express and presorted-bulk rate mail. SBA may authorize periodic audits to ensure the accuracy and validity of Post Office billing reports.

Chapter 8

Cosponsored Mail

1. What is Cosponsored Mail?

Cosponsored mail is mail paid for by SBA for any event or activity conducted by, for, or in conjunction with another organization, other agencies (whether Federal, State, or local), Chambers of Commerce, colleges, universities, non-profit entities, and for profit entities that provide training and counseling programs to assist small businesses. SBA's involvement in cosponsorship is governed by SOP 90 75.

2. What are SBA Cosponsor Mailing Requirements?

SBA makes specific budget allocations and delegates authority to manage the funds for cosponsorship mailings. When doing a cosponsored mailing you must follow the instructions in this chapter, appendix 22; "U.S. SBA Cosponsorship Agreement," SBA Form 1741; and the current issue of the DMM. SBA does not authorize you to complete a cosponsored mailing without all necessary approvals. SBA would consider this to be unauthorized expenditures of funds and it would not reimburse you.

3. When Does SBA Prohibit You from Using SBA Mailing Privileges in Cosponsorships?

SBA's mailing privileges must not be used in cosponsorship activities when:

- a. The type of activity is well established or would occur without SBA assistance;
- b. The mailing would unfairly support an individual, firm, organization, or a limited sector of local small businesses;
- c. The activities are primarily social events, such as breakfasts, luncheons, or dinners, rather than training events;
- d. The use of SBA mailing privileges, and/or other SBA contributions, exceed the contribution(s) of the cosponsor(s), except with respect to SCORE mailings; and
- e. The use of SBA mailing privileges gives the appearance that SBA supports a particular candidate for elective office or any group of such candidates (e.g., one political party's candidates or the incumbent). However, you must review the requirements of SOP 90 75 for specific guidance on this point.

4. What are the Policies and Procedures for Using SBA's Mailing Privileges for Cosponsorship Activities?

- a. Headquarters. Each Headquarters program office must follow the guidelines in SOP 90 75 and must contact the Office of Administrative Services to find out how much money is available for postage.
- b. Field office. Each field office must follow the guidelines in SOP 90 75 and have sufficient funds in their postage budget to cover the cost of all cosponsored mailings that Headquarters does not direct.
 - (1) Mailings not Directed by Headquarters. Before you commit to supporting a cosponsorship with SBA mailing privileges, all cosponsorships must be supported by a complete SBA Form 1741, including all the proper approvals, and the signature of the person with budget authority. Each office must track the estimated and actual costs of the cosponsorship mailing.
 - (2) Mailings Directed by Headquarters. You must get a copy of SBA Form 1741 completed by the Headquarters' program officer prior to committing to support a cosponsorship mailing. The Headquarters program office must send a complete SBA Form 1741 to the Administrative/Budget employee of the organization with authority to approve the agreement to share the expense, the rate, and method of each mailing. You must track the estimated and actual costs of the cosponsorship mailing.

5. What Mailing Rules Must You Follow When Doing a Cosponsored Mailing?

- a. Only put information pertaining to SBA on the front of the mailing piece.
 - (1) You must put SBA information in the area containing the mailing and return addresses (see paragraph 2-3c and appendix 5); and
 - (2) You must not mail cosponsored material from an SBA office. If SBA is doing a Headquarters directed cosponsored mailing, contact OAS for the instructions and guidelines.
- b. The G-82 permit postal marking must be used, and you must adhere to all of the requirements listed in the Domestic Mail Manual, United States Postal Service.
- c. Use of the G-82 permit imprint requires that each mailing consist of a minimum of 200 pieces.
 - (1) You must not break mailings of 200 pieces or more into smaller mailings to avoid using the G-82 postal marking; and

- (2) You must give a PS Form 3602R with all G-82 mailings at the Post Office where SBA has a permit on file to accept G-82 mailings.
- d. The return address must be the address of SBA's office that cosponsored the mail. The street address or the Post Office box is acceptable. If you use the Post Office box, the ZIP Code must correspond with the ZIP Code of the Post Office where the "P.O. Box" is located and not the ZIP Code or the street address. Under no circumstances should the name or address of the cosponsor appear in the return address box.
- e. The color of the paper must be light enough for the OCR equipment at the Post Office to read the address.
- f. The areas containing the address and the delivery point bar-code must be free from other markings so the OCR equipment can read the information accurately. If you need help in determining which areas are in question, contact the local Post Office.
- g. You must mail the material using the Standard Mail (A) rate, which is the most economical rate for mass mailings of printed material. Therefore, you must not separate mailings into several groups, thus, making it impossible to obtain mass mailing discounts at the Post Office.
- h. You must complete PS Forms 3602-R, "Postage Statement - Standard Mail (A), (Other Than Nonprofit) - Permit Imprint," in duplicate and give it to the Post Office at the time of the mailing.
- i. You must add the Federal Agency Cost Code to the PS Form 3602R. This cost code is a 5-digit number that is unique for each SBA office. The number is the 4-digit Location Code plus you add a "Zero" to the end. For example, the Federal Agency Cost Code for Concord is "01890." SBA Form 348, "Small Business Administration Field Locations," which is part of SBA's Telephone Directory published by Headquarters has a listing of the Location Code for each SBA office. It is imperative that you include the Federal Agency Cost Code on the PS Forms 3602R.
- j. After the cosponsor gets notice about the actual mailings cost and the signature of the receiving Post Office on the PS Form 3602R, he/she must return a copy of each PS Form 3602R to his or her SBA contact person. SBA's contact person must send one copy to the:
 - (1) Budget control officer responsible for recording the actual mailing cost on SBA Form 1741; and
 - (2) Office's mail coordinator so he or she may verify USPS quarterly billings.

- k. There is an annual fee for each permit at each Post Office from which you send a G-82 mailing. The USPS bills these fees to one central SBA account. An SBA office or cosponsor does not have to pay these fees up front (see Domestic Mail Manual 137.263). You must keep the numbers of Post Offices that cosponsors use to a minimum.
- l. You must manage all cosponsored mailing lists using the following rules.
 - (1) You must automate SBA mailing lists and update them as changes occur. When automating these lists, you must do it in a manner which ensures that the lists can easily be sorted numerically by ZIP Code to take advantage of presort discounts.
 - (2) You must review and consolidate cosponsor lists and labels to eliminate multiple mailings to an individual or organization appearing on several lists.
 - (3) You must control the area and volume of mail distribution. You must use a targeted lists approach, not a random approach, to obtain the maximum response. The number of pieces you mail is indicative only of cost; the significant measure is the number of responses you receive or the number of people who attend.
 - (4) You must not send mailings addressed to “Resident” or “Occupant.”
- m. You must attempt to obtain labels, not lists, when you are to use proprietary membership lists. You are permitted to use labels produced by an organization, when SBA agrees not to reproduce them or otherwise use the list from which SBA produced the labels. By agreeing to these restrictions, you do not violate the proprietary nature of the list.
- n. You must not mix cosponsored mailings with regular office mail to be metered. This is a violation of SBA policy and it will result in a decrease of the funds available for metering routine office mailings.
 - (1) You must not use meters in SBA offices for processing cosponsored and bulk mailings. However, in some cases, it may be more economical to meter the mail if the quantity is low and it is not convenient to take the mail to the Post Office. If the mail coordinator approves, the use of meters is permitted, but you must record the mailing as a cosponsored or bulk mail and you must track the cost.
 - (2) If you must meter mail, the G-82 permit imprint must not be on the mailing piece. An SBA office must not meter over the permit imprint.

- o. You must consolidate mailings, such mailings for recurring events or for mailings announcing events occurring within 3 months of each other which you send to the same recipients. To control these mailings you must use quarterly training calendars (see SOP 90 75).

Chapter 9

Suspicious Mail Screening and Detection

1. How Does SBA Screen Mail and Other Packages Delivered to Mail Stations?

The United States Postal Inspection Service has devised a mail bomb screening program that all mail personnel must understand. You can find the program information in USPS, Notice 71, "Bombs by Mail," and in a pamphlet titled "Mail Center Security." These materials must be kept in your mail station. The mail coordinator should designate an alternate backup person to assist her/him in developing an easy to follow screening program for suspicious mail. The key points recommended by the Post Office are as follows:

- a. Assess if SBA or a particular employee is a potential target;
- b. Establish direct lines of notification and communication between the mail center security coordinator, management, law enforcement, and the security officer;
- c. Develop specific screening and inspection procedures for all incoming mail or package deliveries and train employees in those procedures;
- d. Develop specific mail station handling techniques and procedures for items that you identify through screening as suspicious or dangerous;
- e. Develop procedures for confirming the contents of suspicious packages you find through the screening process;
- f. Place suspicious mail in an isolated area;
- g. Conduct training sessions for mail stations, security and management personnel to make certain that all phases of the Suspicious Mail Screening Program can realistically happen; and
- h. Conduct unannounced tests for mail station personnel.

2. How Can I Identify a Suspicious Mailing?

The USPS Inspector Service along with other Federal law enforcement agencies have developed indicators for letter and package bombs as follows (see appendices 23 and 24 for illustrative examples).

- a. Letters. Suspicious mail indicators for letters are:
 - (1) Restrictive markings;

- (2) Mailed from a foreign country;
- (3) Excessive postage;
- (4) Misspelled words;
- (5) Addressed to a title only;
- (6) Rigid or bulky; and
- (7) Badly typed or written.

b. Packages. Suspicious mail indicators for packages are:

- (1) No return address;
- (2) Strange odor;
- (3) Wrong title with name;
- (4) Package is lopsided;
- (5) Protruding wires; and
- (6) Package has oily stains on wrapping.

3. What Must SBA Administrative and Other Personnel Do With Suspicious Mail?

If you receive a suspicious mailing and you cannot verify the contents with the recipient or sender:

- a. Do not open the article;
- b. Isolate the package and evacuate the immediate area;
- c. Don't put the mail in water or a confined space such as a desk drawer or filing cabinet;
- d. If possible, open windows in the immediate area to assist in venting potential explosive gases; and
- e. If you have any reason to believe a letter or parcel is suspicious, you must not take a chance or worry about possible embarrassment if the item turns out to be innocent; instead, contact the responsible security, management, and police personnel as we identify in the Suspicious Mail Screening Program.

Chapter 10

SBA Mail Equipment, Vendor, Maintenance, and Ownership

1. What Vendors Does SBA Use for Its Mail Equipment?

SBA currently uses Pitney Bowes for its mail equipment.

2. What Does the Pitney Bowes Contract Cover?

The contract covers the maintenance on the mail machines, related equipment, and electronic postage scales. It also covers the PROM software installed in each scale to compute postage cost. Additionally, it covers the rental cost of postage meters.

3. What Doesn't the Contract Cover?

The contract doesn't cover supplies for the mail equipment. Each office must get these supplies by using the official Government commercial credit card or contacting the Office of Procurement and Grants Management to execute a purchase order.

4. How Do Field Offices Obtain New Mail Equipment?

The Office of Administrative Services (OAS) requires Pitney Bowes to inform SBA of equipment that has an unusual number of repair calls. Based on this information and field office's request for mail equipment, OAS determines which office has the most urgent need for new or replacement mail equipment.

5. How Do Disaster Offices Obtain Mail Equipment?

Area disaster offices should contact (see appendix 3 for telephone numbers) the Pitney Bowes Contracting Officer's Technical Representative (COTR) in the Headquarters Office of Administrative Services as soon as it believes a certain area will be declared a disaster area.

6. What Must Disaster Office Mail Personnel Do When They Obtain Mail Equipment and When the Disaster Office Closes?

When Pitney Bowes delivers equipment, disaster office mail personnel must immediately notify the COTR (see appendix 3) of the serial and model number of the equipment such as the postage meter, the mail machine, and the electronic scale. You must also notify the COTR when SBA plans on closing a disaster office. All notifications should be done by FAX or e-mail (see appendix 3). Once notified, the COTR will make arrangements with Pitney Bowes to have the equipment removed.

7. Who Pays for the Maintenance on SBA Owned Mail Equipment?

The Office of Administrative Services has a contract with Pitney Bowes to maintain all equipment that the Office of Administrative Services obtains.

8. Who Do You Call When You Need Mail Equipment Service?

When your mail equipment needs service, call Pitney Bowes repair (see appendix 3). If you experience any problems with Pitney Bowes regarding service, contact the COTR.

9. How Do You Handle Postage Meter Funds When Pitney Bowes Meters are Installed in a Disaster Office?

When Pitney Bowes installs postage meters in a disaster field office, SBA instructs them to add a pre-determined amount of postage to the meter. When you require additional postage for your meter, you must send a Fax to the COTR (see appendix 3 for FAX number). The FAX message must include the following:

- a. The meter serial number;
- b. Amount of postage you are requesting; and
- c. The access code, which is the number SBA provides to Pitney Bowes for adding postage. Each time Pitney Bowes adds postage, the SBA changes the access number for additional postage.

10. How Do Disaster Offices Handle Postage Meter Funds When They Remove Meters?

When disaster offices remove postage meters and there is money left on the meter, disaster personnel must not accept money orders or checks from the Post Office. SBA accounts for these funds under the Official Mail Accounting System. If postal employees in the disaster areas do not know the official procedure to follow, they must contact the Corporate Accounting Office at Postal Headquarters (see appendix 3).

11. What Should I Do With Pitney Bowes Invoices for Maintenance and Meter Rentals?

Do not pay these invoices. The contract requires Pitney Bowes to give SBA's Headquarters invoices for payment of all services. All invoices that you receive must be forwarded to the Pitney Bowes COTR, OAS, Mail Code 5333.

Appendix 1

Index to Forms and Reports

| <u>Form</u> | <u>Chapter, Paragraph</u> |
|--|---------------------------|
| PS Form 3600-PM, Postage Statement – Priority Mail Permit Imprint | |
| PS Form 3600-R, Postage Statement – First-Class Mail Permit Imprint | 3-2(b) |
| PS Form 3602-R, Postage Statement – Regular Standard Mail Permit Imprint | 3-1f(5) |
| PS Form 3811, Domestic Return Receipt | 4-3c |
| PS Form 3877, Mailing Books for Accountable Mail | 4-8b |
| PS Form 3817, Certificate of Mailing | 4-9a |
| SBA Form 9, Record of Incoming Accountable Mail | 5-2e |
| PS Form 3615, Mailing Permit Application and Customer Profile | 5-8b(2) |
| SBA Form 567, Request for Special Handling Service | 6-7c |
| SBA Form 1741, U. S. SBA Cosponsorship Agreement | 8-2 |
| <u>Report</u> | |
| Reserved | |

Appendix 2

Definitions

Agency Code B 198

Bulk Mail – standard mail (formerly second, third, and Fourth-Class mail) submitted in bulk. It includes parcel post, ordinary papers, and circulars.

Business Reply Mail - mail the recipient encloses in an envelope provided by SBA that indicates "No postage necessary if mailed in the United States."

Certificate of Mailing - PS Form 3817 that shows an item was mailed.

Certified Mail - a service that gives the sender a receipt and a record of delivery at the recipient's address.

Consolidated Mailing All mail going to one place that is collected from all offices and packaged as bulk mail to achieve the lowest mail cost.

Contractor Mail - SBA mail that a non-agency personnel gives to a Post Office under contract with the SBA to such service.

Cosponsored Mail - SBA mail that SBA authorizes a college, university, or other cosponsoring organization authorized to give to a Post Office for the Agency.

Contractor Mail – SBA mail that SBA authorizes an outside contractor to give to a Post Office for the Agency.

Customer Service Representative - USPS employee who establishes and maintains communications with USPS customers to improve service, sell postal products and programs, and present the customers' viewpoint to postal management; commonly known as CSR.

Direct Accountability Mail - types of mail that we must account for when we send them.

Domestic Mail - mail sent within, among, and between the United States, its territories, and its possessions.

Faced Mail - mail you arrange with all addresses and stamps facing the same way.

Facsimile (FAX) System - the linking of high-speed, high resolution digital telecopiers in SBA offices.

Federal Agency Cost Code The location code or mail code assigned to each office plus a 'zero' at the end.

First-Class Mail - personal correspondence, post cards, checks, statements of account, and all matter sealed or otherwise closed against postal inspection.

Flat - a piece of First or Third Class mail larger than letter size.

Flat Size Envelope An envelope with a length that exceeds 11 ½ inches and the height exceeds 6 1/8 inches.

Foreign Mail - mail we address to a location the USPS does not consider as part of the United States, its territories, or its possessions.

Indicium – postal marking imprinted by SBA and used mail pieces to denote payment of postage.

International Mail - surface or airmail originating in one country and destined for another.

Mail Coordinators - designated SBA employees responsible for the mail management program in their respective regional, district, branch and disaster area offices, mail stations, and Headquarters mail stations.

Mailing Statement - a postal form that makes SBA accountable for paying the postage cost associated with a particular mailing.

Non-Agency Personnel Personnel who are not employed by the SBA.

Non-SBA Organizations Organizations that are not part of the Small Business Administration.

Non-Standard Mail A single piece of First-Class and Standard Mail (A) weighing 1 ounce or less and exceeds a length of 11 ½ inches, a height of 6 1/8 inches, a thickness of ¼ inch, and its length divided by height does not fall between 1 to 1.3 and 1 to 2.5 inclusive.

Official Mail – mail that authorized Federal employees give to the USPS.

Penalty Envelope - official envelope used to transmit penalty mail.

Permit Imprint Mail - mail with printed postal markings, indicating that under the permit number shown the sender paid postage.

Postal Stationery - generally, post cards, wrappers, and envelopes with imprinted or embossed stamps.

Pouch - mailbag generally used to consolidate several pieces of First-Class mail to send to a single SBA or other government office location.

Presorting - preparing mail by grouping pieces by ZIP Code or other separation recommended by USPS. This is done to avoid certain postal procedures and to get USPS discounts on postage costs.

Return Receipt Card - a card that the addressee of a registered, certified, insured, or express mail article signs and that the USPS returns to the sender.

Second-Class Mail - all newspapers, magazines, and other periodicals issued at stated intervals. USPS does not authorize SBA to use this class of mail.

Standard Mail (A) – usually circulars, printed material, pamphlets, and merchandise weighting less than 16 ounces.

Standard Mail (B) – merchandise, printed materials, and other material not included in First-class or Standard Mail (A).

Unique ZIP Code - a ZIP Code which USPS assigns to only one company or agency on the basis of the average daily volume of letter size pieces a company receives, availability of ZIP Code numbers in the postal area, and relative USPS cost benefits.

USPS Express Mail - overnight mail service for which USPS will guarantee delivery within a specified time or refund the postage cost upon request.

ZIP (Zone Improvement Plan) Code - a numbered coding system that simplifies efficient processing of mail.

ZIP +4 - USPS name for a 9-digit ZIP Code. The most complete ZIP Code is a nine-digit number divided by a hyphen between the fifth and sixth digits.

- a. The first three digits identify the delivery area of the central facility or the main Post Office serving the area in which the address is located.
- b. The fourth and fifth digits identify the delivery area of the associate Post Office or branch station of the main Post Office serving the address.
- c. The sixth and seventh digits identify an area known as a sector.
- d. The eighth and ninth digits identify a smaller area known as a segment.
- e. The final four digits of the code identify specific geographic units, such as: a side of a street between intersections; individual buildings, a floor or group of floors in

a large building; a firm within a building, or a group of Post Office boxes to which delivery will be made by a single postal employee.

Appendix 3
List of Current Telephone Numbers

| <u>Description</u> | <u>Number</u> | <u>Chapter, Paragraph</u> |
|--|--|---------------------------|
| ZIP Code Information | (202) 635-5300 | 5, 4d(5) |
| FedEx Delivery and Information | (800) 463-3339 | 4, 6a(1) |
| Pitney Bowes COTR | (202) 205-7046 or (202) 205-6624 | 10, 5 |
| Pitney Bowes COTR FAX | (202) 205-7432 | 10, 6 |
| Pitney Bowes Service/Maintenance | (800) 522-0020 | 10, 8 |
| Postal Headquarters Corporate Accounting Office | (202) 268-3255 | 10, 10 |

Appendix 4
(chapter 2, paragraph 2)

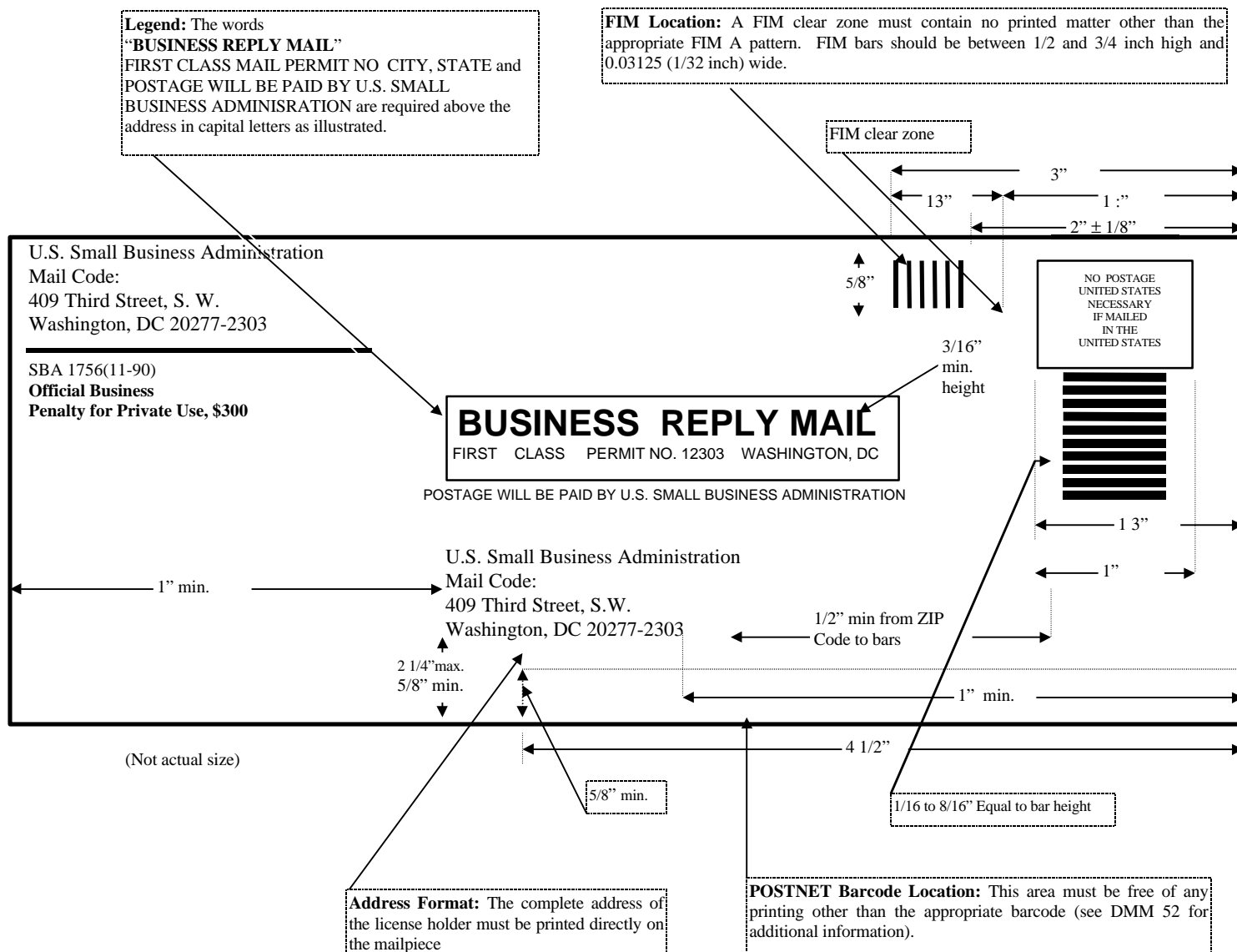
Official Business Reply Postal Marking (Indicium)

| | | |
|---|---|--|
| <p>U.S. Small Business Administration Mail Code: 409 Third Street, S. W. Washington, DC 20277-2303</p> <hr style="border: 1px solid black;"/> <p>SBA 1756(11-90) Official Business Penalty for Private Use, \$300</p> |  <div style="border: 1px solid black; padding: 5px; display: inline-block;"> BUSINESS REPLY MAIL <small>FIRST CLASS PERMIT NO. 12303 WASHINGTON, DC</small> </div> <p>POSTAGE WILL BE PAID BY U.S. SMALL BUSINESS ADMINISTRATION</p> | <div style="border: 1px solid black; padding: 5px; text-align: center; font-size: small;"> NO POSTAGE UNITED STATES NECESSARY IF MAILED IN THE UNITED STATES </div>  |
| <p>U.S. Small Business Administration Mail Code: 409 Third Street, S. W. Washington, DC 20277-2303</p>  | | |

(Not actual size)

Appendix 5 (chapter 2, paragraph 2)

Official Business Reply Envelope Layout Guidelines



Layout Reproduced by ICCS, Inc. with permission from the SBA
and U. S. Postal Service

Appendix 6
(chapter 2, paragraph 2)

Official Permit Postal Marking (Indicia)

First-Class Official Mail

**FIRST-CLASS MAIL
POSTAGE & FEES PAID
AGENCY NAME
PERMIT NO. G-999**

**PRESORTED
FIRST-CLASS MAIL
POSTAGE & FEES PAID
AGENCY NAME
PERMIT NO. G-999**

**FIRST-CLASS MAIL
AUTO
POSTAGE & FEES PAID
AGENCY NAME
PERMIT NO. G-999**

Standard Mail (A) Official Mail

**PRSRT STD
POSTAGE & FEES PAID
AGENCY NAME
PERMIT NO. G-999**

**PRESORTED STANDARD
AUTO CR
POSTAGE & FEES PAID
AGENCY NAME
PERMIT NO. G-999**

**PRSRT STD
AUTO
POSTAGE & FEES PAID
AGENCY NAME
PERMIT NO. G-999**

Standard Mail (B) Official Mail

**POSTAGE & FEES PAID
AGENCY NAME
PERMIT NO. G-999**

**SPECIAL STANDARD MAIL
POSTAGE & FEES PAID
AGENCY NAME
PERMIT NO. G-999**

**PRSRT
BOUND PRINTED MATTER
POSTAGE & FEES PAID
AGENCY NAME
PERMIT NO. G-999**

Appendix 7
(chapter 3, paragraph 1e)

| | | | | | |
|---|-------------------------------------|-------------------------------|--|--|--|
| USPS Logo goes Here | | EXPRESS MAIL | | UNITED STATES POSTAL SERVICE TM | |
| POST OFFICE TO ADDRESSEE EI570708395US | | | | | |
| ORIGIN (POSTAL USE ONLY) | | | | | |
| PO ZIP Code | Day of Delivery Next Second | | Flat Rate Envelope | | |
| Date In | | | Postage | | |
| Mo. Day Year | 12 Noon 3 PM | | \$ | | |
| Time | Military | | Return Receipt | | |
| AM PM | AM PM | | | | |
| Weight | Int'l Alpha Country Code | | C.O.C. | | |
| lb. oz. | | | | | |
| No Delivery | Acceptance Clerk Initials | | Total Postage & Fees | | |
| Weekend Holiday | | | \$ | | |
| CUSTOMER USE ONLY | | | | | |
| METHOD OF PAYMENT: | | | Waiver of Signature (Domestic Only): I wish delivery to be made without obtaining signature of addressee or employee's agent (if delivery employee judges that article can be left in secure location) and I authorize that delivery employee's signature constitutes valid proof of delivery. | | |
| Express Mail Corporate Acct. No. | | | NO DELIVERY Weekend Holiday _____ | | |
| Federal Agency Acct. No or Postal Service Acct. No. | | | Customer Signature _____ | | |
| DELIVERY (POSTAL USE ONLY) | | | | | |
| Delivery Attempt | | Time | Employee Signature | | |
| Mo. Day | AM PM | | | | |
| Delivery Attempt | | Time | Employee Signature | | |
| Mo. Day | AM PM | | | | |
| Date of Delivery | | Time | Employee Signature | | |
| Mo. Day | AM PM | | | | |
| Signature of Addressee or Agent | | | | | |
| X | | | | | |
| Name - Please Print | | | | | |
| X | | | | | |

Appendix 8

PS Form 3600-PM

United States Postal Service

Postage Statement — Priority Mail Permit Imprint

Post Office Note Mail Arrival Time

| | | | | | | |
|---|--|---------------------------------------|--|---|--|--------|
| Mailer Information | Permit Holder's Name and Address | Telephone | Name and Address of Mailing Agent (If other than permit holder) | Telephone | Name and Address of Individual or Organization for Which Mailing Is Prepared (If other than permit holder) | |
| | CAPS Cust. Ref. ID _____ | | Dun & Bradstreet No. _____ | | Dun & Bradstreet No. _____ | |
| Mailing Information | Post Office of Mailing | Mailing Date | Federal Agency Cost Code | Statement Sequence No. | Receipt No. | |
| | Permit No. | Weight of a Single Piece _____ pounds | | Total Pieces | Total Weight | |
| | Processing Category (DMM C050) <input type="checkbox"/> Letters <input type="checkbox"/> Outside Parcels <input type="checkbox"/> Flats <input type="checkbox"/> Parcels | | | Number of Containers (Fill in all that apply) | | |
| | | | | 1' MM Trays _____ 2' MM Trays _____ 2' EMM Trays _____ Total Ltr. Trays _____ Flat Trays _____ Number of Sacks _____ Number of Pallets <u>N/A</u> Number of Other _____ | | |
| Separation Method: All pieces must be separated by zone when presented for acceptance unless all the pieces are in a weight category for which the rate does not vary by zone (5 pounds or less) or the postage is reported under an MMS. | | | | | | |
| Postage Calculation | Zone | | Number of Pieces | x | Rate | Totals |
| | Unzoned (Up to 5 pounds) | | | | | |
| | Local, 1, 2, & 3 | | | | | |
| | 4 | | | | | |
| | 5 | | | | | |
| | 6 | | | | | |
| | 7 | | | | | |
| | 8 | | | | | |
| | Pieces from Standard Mail (A) | | | | | |
| | Totals | | | | | |
| For Special Services and Other Fees | | | | Total From Attached Form 3540-S | | |
| Postmaster: Report total postage in AIC 237. | | | | Total Postage Due (Add two lines above) → | | |
| Certification | The signature of a mailer certifies that it will be liable for and agrees to pay, subject to appeals prescribed by postal laws and regulations, any revenue deficiencies assessed on this mailing. (If this form is signed by an agent, the agent certifies that it is authorized to sign this statement, that the certification binds the agent and the mailer, and that both the mailer and the agent will be liable for and agree to pay any deficiencies.) | | | | | |
| | The submission of a false, fictitious, or fraudulent statement may result in imprisonment of up to 5 years and a fine of up to \$10,000 (18 USC 1001). In addition, a civil penalty of up to \$5,000 and an additional assessment of twice the amount falsely claimed may be imposed (31 USC 3802). | | | | | |
| | I hereby certify that all information furnished on this form is accurate and truthful, that the material presented qualifies for the rates of postage claimed, and that this mailing does not contain any hazardous materials prohibited by postal regulations. | | | | | |
| Signature of Permit Holder or Agent (Both principal and agent are liable for any postage deficiency incurred.) | | | | | Telephone | |
| USPS Use Only | Weight of a Single Piece _____ pounds | | Are figures at left adjusted from mailer's entries? <input type="checkbox"/> Yes <input type="checkbox"/> No | | | |
| | Total Pieces | Total Weight | If "Yes," Reason | | Round Stamp (Required) | |
| | Total Postage | | | | | |
| | I CERTIFY that this mailing has been inspected concerning: (1) eligibility for postage rate claimed; (2) proper preparation; and (3) proper completion of postage statement. | | Date Mailer Notified | Contact | By (Initials) | |
| | Verifying Employee's Signature | | Verifying Employee's Name | | Time AM PM | |

PS Form 3600-PM, January 1999 (Page 1 of 1)

This form on Internet at www.usps.com

Appendix 9

PS Form 3600-R

United States Postal Service

Postage Statement — First-Class Mail

Permit Imprint

Post Office Note Mail Arrival Time

| | | | | | |
|---|---|--|---|--|--|
| Mailer Information | Permit Holder's Name and Address | Telephone | Name and Address of Mailing Agent (If other than permit holder) | Telephone | Name and Address of Individual or Organization for Which Mailing Is Prepared (If other than permit holder) |
| | CAPS Cust. Ref. ID _____ | | | | |
| Mailing Information | Dun & Bradstreet No. _____ | Dun & Bradstreet No. _____ | | Dun & Bradstreet No. _____ | |
| | Post Office of Mailing | Mailing Date | Federal Agency Cost Code | Statement Sequence No. | Receipt No. |
| | Permit No. | Weight of a Single Piece 0 _____ pounds | | Total Pieces | Total Weight |
| | Prepared Under DMM (Check all that apply) <input type="checkbox"/> M130 (Letters, flats, parcels) <input type="checkbox"/> M130 (Upgradable letters) <input type="checkbox"/> M810 (Automation letters) <input type="checkbox"/> M820 (Auto. flats) | | Processing Category (DMM C050) <input type="checkbox"/> Letters <input type="checkbox"/> Flats <input type="checkbox"/> Automation Flats (DMM C820) <input type="checkbox"/> Parcels | | Number of Containers (Fill in all that apply) 1' MM Trays _____ 2' MM Trays _____ 2' EMM Trays _____ Total Ltr. Trays _____ Flat Trays _____ Number of Sacks N/A Number of Pallets _____ Number of Other _____ |
| Postage Computation (DMM P013) | For Automation Letters | | | Total From Part A (On reverse) | |
| | For Automation Flats | | | Total From Part B (On reverse) | |
| | For Nonautomation Letters, Flats, and Parcels | | | Total From Part C (On reverse) | |
| | For Automation and Nonautomation Postcards | | | Total From Part D (On reverse) | |
| | For Special Services and Other Fees | | | Total From Attached Form 3540-S | |
| | Postmaster: Report total postage in AIC 121. | | | Total Postage Due (Add lines above) → | |
| USPS: Additional Postage Payment (State reason. Add amount to line above) | | | \$ → | | |
| Certification | <p>The signature of a mailer certifies that it will be liable for and agrees to pay, subject to appeals prescribed by postal laws and regulations, any revenue deficiencies assessed on this mailing. (If this form is signed by an agent, the agent certifies that it is authorized to sign this statement, that the certification binds the agent and the mailer, and that both the mailer and the agent will be liable for and agree to pay any deficiencies.)</p> <p>The submission of a false, fictitious, or fraudulent statement may result in imprisonment of up to 5 years and a fine of up to \$10,000 (18 USC 1001). In addition, a civil penalty of up to \$5,000 and an additional assessment of twice the amount falsely claimed may be imposed (31 USC 3802).</p> <p><input type="checkbox"/> For Updated Addresses (Presorted and automation rates only): I certify that the addresses appearing on the pieces described above have been updated within 180 days of the date of this mailing using a USPS-approved address update method.</p> <p><input type="checkbox"/> For Enclosed Reply Pieces (Automation rate only): I certify that any letter-size cards or envelopes enclosed in the pieces described above bear the correct facing identification mark (FIM) and barcode and meet automation compatibility standards in DMM C810.</p> <p><input type="checkbox"/> For ZIP Codes (Presorted rate only): I certify that the ZIP Codes appearing on the pieces described above have been verified and corrected where necessary within 12 months of the date of this mailing using a USPS-approved method.</p> <p>I hereby certify that all information furnished on this form is accurate and truthful, that this mailing meets all applicable CASS/MASS standards for address and barcode accuracy, that the material presented qualifies for the rates of postage claimed, and that this mailing does not contain any hazardous materials prohibited by postal regulations.</p> | | | | |
| | Signature of Permit Holder or Agent (Both principal and agent are liable for any postage deficiency incurred.) | | | | Telephone |
| | | | | | |
| USPS Use Only | Weight of a Single Piece 0 _____ pounds | | Are figures at left adjusted from mailer's entries? <input type="checkbox"/> Yes <input type="checkbox"/> No | | |
| | Total Pieces | Total Weight | If "Yes," Reason | | |
| | Total Postage | | | | |
| | Check One (If applicable) <input type="checkbox"/> Presort Verification Not Scheduled <input type="checkbox"/> Presort Verification Performed as Scheduled | | Date Mailer Notified | Contact | By (Initials) |
| | I CERTIFY that this mailing has been inspected concerning: (1) eligibility for postage rate claimed; (2) proper preparation (and presort where required); (3) proper completion of postage statement; and (4) payment of required annual fee. | | | | |
| | Verifying Employee's Signature | | Verifying Employee's Name | Time | AM PM |

PS Form 3600-R, January 1999 (Page 1 of 2)

This form on Internet at www.usps.com

Appendix 9 (cont'd)

First-Class Mail — Permit Imprint

| Presort / Automation Discounts | Rate per Piece | Number of Pieces | Total | Presort / Automation Discounts | Rate per Piece | Number of Pieces | Total |
|---|----------------|------------------|-----------|--|----------------|------------------|-----------|
| A Automation Letters (DMM C810) | | | | B Automation Flats (DMM C820) | | | |
| Carrier Route | | x | pcs. = \$ | 3/5 | | x | pcs. = \$ |
| 5-Digit | | x | pcs. = \$ | Basic | | x | pcs. = \$ |
| 3-Digit | | x | pcs. = \$ | Nonstandard Surcharge (If applicable) | | .05 x | pcs. = \$ |
| Basic | | x | pcs. = \$ | | | | |
| ↓ | | | | ↓ | | | |
| Total — Part A (Carry to front of form) | | | \$ | Total — Part B (Carry to front of form) | | | \$ |
| C Nonautomation Letters, Flats, and Parcels (DMM C050) | | | | D Postcards (DMM C100) | | | |
| Presorted | | x | pcs. = \$ | Automation* | | | |
| Single-Piece | | x | pcs. = \$ | Carrier Route | | .141 x | pcs. = \$ |
| Nonstandard Surcharge (If applicable) | | | | 5-Digit | | .146 x | pcs. = \$ |
| Presorted | | .05 x | pcs. = \$ | 3-Digit | | .159 x | pcs. = \$ |
| Single-Piece | | .11 x | pcs. = \$ | Basic | | .166 x | pcs. = \$ |
| From Standard Mail (A) | | | | Nonautomation | | | |
| Single-Piece | | x | pcs. = \$ | Presorted | | .180 x | pcs. = \$ |
| Nonstandard Surcharge (If applicable) | | | | Single-Piece | | .200 x | pcs. = \$ |
| Single-Piece | | .11 x | pcs. = \$ | | | | |
| ↓ | | | | ↓ | | | |
| Total — Part C (Carry to front of form) | | | \$ | Total — Part D (Carry to front of form) | | | \$ |

PS Form 3600-R, January 1999 (Page 2 of 2)

Appendix 10

PS Form 3602-R

United States Postal Service

Postage Statement — Regular Standard Mail

Permit Imprint

Post Office Note Mail Arrival Time

| | | | | | |
|--------------------------------|---|--|---|------------------------|--|
| Mailer Information | Permit Holder's Name and Address | Telephone | Name and Address of Mailing Agent (If other than permit holder) | Telephone | Name and Address of Organization for Which Mailing Is Prepared (If other than permit holder) |
| | CAPS Customer Ref. ID | | Dun & Bradstreet No. | | Dun & Bradstreet No. |
| Mailing Information | Post Office of Mailing | Mailing Date | Federal Agency Cost Code | Statement Sequence No. | Receipt No. |
| | Permit No. | Weight of a Single Piece 0 pounds | | Total Pieces | Total Weight |
| | Prepared Under DMM (Check all that apply) | | Processing Category (DMM C050) | | Number of Containers (Fill in all that apply) |
| | <input type="checkbox"/> M610 (Letters, flats, parcels) <input type="checkbox"/> M610 (Upgradable letters) <input type="checkbox"/> M620 (ECR) <input type="checkbox"/> M810 (Automation letters) <input type="checkbox"/> M820 (Auto. flats) | | <input type="checkbox"/> Letters <input type="checkbox"/> Flats <input type="checkbox"/> Automation Flats (DMM C820) <input type="checkbox"/> Machinable Parcels <input type="checkbox"/> Irregular Parcels | | 1' MM Trays 2' MM Trays 2' EMM Trays Total Ltr. Trays Flat Trays: N/A Number of Sacks Number of Pallets Number of Other |
| Postage Computation (DMM P013) | If Sacking, Based on <input type="checkbox"/> 125 Pcs. <input type="checkbox"/> 15 Lbs. <input type="checkbox"/> Both | | | | |
| | For Automation Letters and Flats | | Total From Part A (On reverse) | | |
| | For Presorted Letters and Nonletters | | Total From Part B (On reverse) | | |
| | For Enhanced Carrier Route (ECR) Pieces | Sequencing Date | Total From Part C (On reverse) | | |
| | For All Other Pieces | | Total From Part D (On reverse) | | |
| | For Residual Shape Surcharge | | No. of Pieces | Fee per Pc. x \$.10 | |
| Certification | Postmaster: Report total postage in AIC 130. | | | | |
| | Total Postage Due (Add lines above) → | | | | |
| | USPS: Additional Postage Payment (State reason. Add amount to line above) \$ → | | | | |
| USPS Use Only | The signature of a mailer certifies that it will be liable for and agrees to pay, subject to appeals prescribed by postal laws and regulations, any revenue deficiencies assessed on this mailing. (If this form is signed by an agent, the agent certifies that it is authorized to sign this statement, that the certification binds the agent and the mailer, and that both the mailer and the agent will be liable for and agree to pay any deficiencies.) The submission of a false, fictitious, or fraudulent statement may result in imprisonment of up to 5 years and a fine of up to \$10,000 (18 USC 1001). In addition, a civil penalty of up to \$5,000 and an additional assessment of twice the amount falsely claimed may be imposed (31 USC 3802). | | | | |
| | <input type="checkbox"/> For Enclosed Reply Pieces (Automation rates only): I certify that any letter-size cards or envelopes enclosed in the pieces described above bear the correct facing identification mark (FIM) and barcode and meet automation compatibility standards in DMM C810. | | | | |
| | <input type="checkbox"/> For ZIP Codes (Presorted rates only): I certify that the ZIP Codes appearing on the pieces described above have been verified and corrected where necessary within 12 months of the date of this mailing using a USPS-approved method. | | | | |
| | I hereby certify that all information furnished on this form is accurate and truthful, that this mailing meets all applicable CASS/MASS standards for address and barcode accuracy, that the material presented qualifies for the rates of postage claimed, and that this mailing does not contain any hazardous materials prohibited by postal regulations. | | | | |
| USPS Use Only | Signature of Permit Holder or Agent (Both principal and agent are liable for any postage deficiency incurred.) | | Telephone | | |
| | Weight of a Single Piece 0 pounds | Are figures at left adjusted from mailer's entries? <input type="checkbox"/> Yes <input type="checkbox"/> No | | | |
| | Total Pieces | Total Weight | If "Yes," Reason | | |
| | Total Postage | | Round Stamp (Required) | | |
| | Check One (if applicable) <input type="checkbox"/> Presort Verification Not Scheduled <input type="checkbox"/> Presort Verification Performed as Scheduled | | Date Mailing Notified | Contact | By (Initials) |
| | I CERTIFY that this mailing has been inspected concerning: (1) eligibility for postage rate claimed; (2) proper preparation (and presort where required); (3) proper completion of postage statement; and (4) payment of required annual fee. | | | | |
| Verifying Employee's Signature | | Verifying Employee's Name | | Time AM PM | |

PS Form 3602-R, January 1999 (Page 1 of 2)

This form on Internet at www.usps.com

Appendix 10 (cont'd)

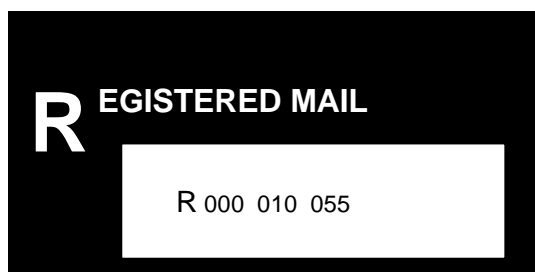
Regular Standard Mail — Permit Imprint

| Entry Discount | Presort / Automation Discount | Rate per Piece | Number of Pieces | Total |
|--|--|----------------|------------------|-------|
| A | Automation Rates — Letters and Flats 3.3087 Oz. (.2068 Lb.) or Less | | | |
| None | 5-Digit Letter | .160 x | pcs. = \$ | |
| | 3-Digit Letter | .176 x | pcs. = \$ | |
| | Basic Letter | .183 x | pcs. = \$ | |
| | 3/5 Flat | .203 x | pcs. = \$ | |
| | Basic Flat | .245 x | pcs. = \$ | |
| DBMC | 5-Digit Letter | .144 x | pcs. = \$ | |
| | 3-Digit Letter | .160 x | pcs. = \$ | |
| | Basic Letter | .167 x | pcs. = \$ | |
| | 3/5 Flat | .187 x | pcs. = \$ | |
| | Basic Flat | .229 x | pcs. = \$ | |
| DSCF | 5-Digit Letter | .139 x | pcs. = \$ | |
| | 3-Digit Letter | .155 x | pcs. = \$ | |
| | Basic Letter | .162 x | pcs. = \$ | |
| | 3/5 Flat | .182 x | pcs. = \$ | |
| | Basic Flat | .224 x | pcs. = \$ | |
| Total — Part A (Carry to front of form) | | | | \$ |
| C | ECR Pieces 3.3062 Oz. (.2066 Lb.) or Less | | | |
| None | Saturation Letter | .130 x | pcs. = \$ | |
| | Saturation Nonletter | .140 x | pcs. = \$ | |
| | High Density Letter | .139 x | pcs. = \$ | |
| | High Density Nonletter | .151 x | pcs. = \$ | |
| | Basic Letter | .162 x | pcs. = \$ | |
| | Basic Nonletter | .162 x | pcs. = \$ | |
| | Basic Automation Letter* | .156 x | pcs. = \$ | |
| DBMC | Saturation Letter | .114 x | pcs. = \$ | |
| | Saturation Nonletter | .124 x | pcs. = \$ | |
| | High Density Letter | .123 x | pcs. = \$ | |
| | High Density Nonletter | .135 x | pcs. = \$ | |
| | Basic Letter | .146 x | pcs. = \$ | |
| | Basic Nonletter | .146 x | pcs. = \$ | |
| | Basic Automation Letter* | .140 x | pcs. = \$ | |
| DSCF | Saturation Letter | .109 x | pcs. = \$ | |
| | Saturation Nonletter | .119 x | pcs. = \$ | |
| | High Density Letter | .118 x | pcs. = \$ | |
| | High Density Nonletter | .130 x | pcs. = \$ | |
| | Basic Letter | .141 x | pcs. = \$ | |
| | Basic Nonletter | .141 x | pcs. = \$ | |
| | Basic Automation Letter* | .135 x | pcs. = \$ | |
| DDU | Saturation Letter | .104 x | pcs. = \$ | |
| | Saturation Nonletter | .114 x | pcs. = \$ | |
| | High Density Letter | .113 x | pcs. = \$ | |
| | High Density Nonletter | .125 x | pcs. = \$ | |
| | Basic Letter | .136 x | pcs. = \$ | |
| | Basic Nonletter | .136 x | pcs. = \$ | |
| | Basic Automation Letter* | .130 x | pcs. = \$ | |
| *Automation-compatible letters (DMM E640.2) | | | | |
| Total — Part C (Carry to front of form) | | | | \$ |
| B | Presorted Pieces 3.3087 Oz. (.2068 Lb.) or Less | | | |
| None | 3/5 Letter | .207 x | pcs. = \$ | |
| | 3/5 Nonletter | .240 x | pcs. = \$ | |
| | Basic Letter | .235 x | pcs. = \$ | |
| | Basic Nonletter | .304 x | pcs. = \$ | |
| DBMC | 3/5 Letter | .191 x | pcs. = \$ | |
| | 3/5 Nonletter | .224 x | pcs. = \$ | |
| | Basic Letter | .219 x | pcs. = \$ | |
| | Basic Nonletter | .288 x | pcs. = \$ | |
| DSCF | 3/5 Letter | .186 x | pcs. = \$ | |
| | 3/5 Nonletter | .219 x | pcs. = \$ | |
| | Basic Letter | .214 x | pcs. = \$ | |
| | Basic Nonletter | .283 x | pcs. = \$ | |
| Total — Part B (Carry to front of form) | | | | \$ |
| D | Check <input type="checkbox"/> Pieces More Than 3.3087 Oz. (.2068 Lb.) | | | |
| | One: <input type="checkbox"/> ECR Pieces More Than 3.3062 Oz. (.2066 Lb.) | | | |
| None | Saturation ECR | .003 x | pcs. = \$ | |
| | plus | .663 x | lbs. = \$ | |
| | High Density ECR | .014 x | pcs. = \$ | |
| | plus | .663 x | lbs. = \$ | |
| | Basic ECR | .025 x | pcs. = \$ | |
| | plus | .663 x | lbs. = \$ | |
| | 3/5 Automation* | .063 x | pcs. = \$ | |
| | plus | .677 x | lbs. = \$ | |
| | 3/5 Presorted | .100 x | pcs. = \$ | |
| | plus | .677 x | lbs. = \$ | |
| | Basic Automation* | .105 x | pcs. = \$ | |
| | plus | .677 x | lbs. = \$ | |
| | Basic Presorted | .164 x | pcs. = \$ | |
| | plus | .677 x | lbs. = \$ | |
| DBMC | Saturation ECR | .003 x | pcs. = \$ | |
| | plus | .584 x | lbs. = \$ | |
| | High Density ECR | .014 x | pcs. = \$ | |
| | plus | .584 x | lbs. = \$ | |
| | Basic ECR | .025 x | pcs. = \$ | |
| | plus | .584 x | lbs. = \$ | |
| | 3/5 Automation* | .063 x | pcs. = \$ | |
| | plus | .598 x | lbs. = \$ | |
| | 3/5 Presorted | .100 x | pcs. = \$ | |
| | plus | .598 x | lbs. = \$ | |
| | Basic Automation* | .105 x | pcs. = \$ | |
| | plus | .598 x | lbs. = \$ | |
| | Basic Presorted | .164 x | pcs. = \$ | |
| | plus | .598 x | lbs. = \$ | |
| DSCF | Saturation ECR | .003 x | pcs. = \$ | |
| | plus | .563 x | lbs. = \$ | |
| | High Density ECR | .014 x | pcs. = \$ | |
| | plus | .563 x | lbs. = \$ | |
| | Basic ECR | .025 x | pcs. = \$ | |
| | plus | .563 x | lbs. = \$ | |
| | 3/5 Automation* | .063 x | pcs. = \$ | |
| | plus | .577 x | lbs. = \$ | |
| | 3/5 Presorted | .100 x | pcs. = \$ | |
| | plus | .577 x | lbs. = \$ | |
| | Basic Automation* | .105 x | pcs. = \$ | |
| | plus | .577 x | lbs. = \$ | |
| | Basic Presorted | .164 x | pcs. = \$ | |
| | plus | .577 x | lbs. = \$ | |
| DDU | Saturation ECR | .003 x | pcs. = \$ | |
| | plus | .537 x | lbs. = \$ | |
| | High Density ECR | .014 x | pcs. = \$ | |
| | plus | .537 x | lbs. = \$ | |
| | Basic ECR | .025 x | pcs. = \$ | |
| | plus | .537 x | lbs. = \$ | |
| *Automation-compatible flats only (DMM C820) | | | | |
| Total — Part D (Carry to front of form) | | | | \$ |

PS Form 3602-R, January 1999 (Page 2 of 2)

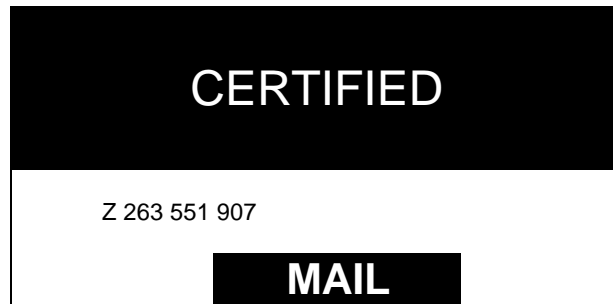
Appendix 11
(chapter 4, paragraph 2)

Label 200, Registered Mail



Appendix 12
(chapter 4, paragraph 3a)

Certified Receipt Label



Appendix 13
(chapter 4, paragraph 3c)

PS Form 3811

| | | | | | | | | | |
|---|---------|---|-----------|------------|-----------|--------------|---------|--------------------------------|-----|
| SENDER: Π Complete items 1 and/or 2 for additional services. Π Complete items 3, 4a, and 4b. Π Print your name and address on the reverse of this form so that we can return this card to you. Π Write "Return Receipt Requested" on the mailpiece below the article number. Π The Return Receipt will show to whom the article was delivered and the date delivered. | | I also wish to receive the following services (for an extra fee): 1. Addressee's Address 2. Restricted Delivery Consult postmaster for fee. | | | | | | | |
| 3. Article Addressed to: | | 4a. Article Number | | | | | | | |
| | | 4b. Service Type <table border="0"> <tr> <td>Registered</td> <td>Certified</td> </tr> <tr> <td>Express Mail</td> <td>Insured</td> </tr> <tr> <td>Return Receipt for Merchandise</td> <td>COD</td> </tr> </table> | | Registered | Certified | Express Mail | Insured | Return Receipt for Merchandise | COD |
| | | Registered | Certified | | | | | | |
| Express Mail | Insured | | | | | | | | |
| Return Receipt for Merchandise | COD | | | | | | | | |
| 7. Date of Delivery | | | | | | | | | |
| 5. Received By: (Print Name) | | 8. Addressee's Address (Only if requested and fee is paid) | | | | | | | |
| 6. Signature: (Addressee or Agent) | | | | | | | | | |
| Ω | | | | | | | | | |

PS Form 3811
Domestic Return Receipt

Appendix 14 (chapter 4, paragraph 6a(3))

FedEx USA Airbill

Tracking Number 301894419194

0200

Sender's Copy
3 From (please Print)

Date _____ Sender's FedEx Account Number _____

Sender's Name _____ Phone (____) _____

Company _____

Address _____

City _____ State _____ Zip _____

2 Internal Billing Reference Information

(Optional) (First 24 characters will appear on invoice) _____

3 To (please print)

Recipient's Name _____ Phone (____) _____
Dept./Floor/Suite/Room _____

Company _____

Address _____
(To "HOLD" at FedEx location, print FedEx Address here) (We Cannot Deliver to P.O.Boxes or P.O.Zip Codes)

City _____ State _____ Zip _____

For HOLD at FedEx Location check here

Hold Weekday
FedEx First Overnight)

Hold Saturday (Not available at all locations)
FedEx Standard Overnight)

For Saturday Delivery check here
(Extra Charge, Not available to all locations)(Not available with FedEx Overnight or FedEx Standard Overnight)

Service Conditions Declared Value, and Limit of Liability - By using this Airbill, you agree to the service conditions in our current Service Guide or U.S. Government Service Guide. Both are available on request. SEE BACK OF SENDER'S COPY OF THIS AIRBILL FOR INFORMATION AND ADDITIONAL TERMS. We will not be responsible for any claim in excess of \$100 per package whether the result of loss, damage, or delay, non-delivery, misdelivery, or misinformation, unless you declare a higher value, pay an additional charge, and document your

actual loss in a timely manner. Your right to recover from us for any loss includes intrinsic value of the package, loss of sales, interest, profit, attorney's fees, costs, and other forms of damage, whether direct, incidental, consequential, or special, and is limited to the greater of \$100 or the declared value for any FedEx Letter and FedEx Pak is \$500. Federal Express may, upon your request, and with some limitations, refund all transportation charges paid. See the FedEx Service Guide for further details.

Questions?

Call 1*800*Go*FedEx (1-800-463-3339)

The World On Time®

Example only, not actual size

| | | | |
|---|--|---|---|
| 4a | Form I.D. No. _____ | | |
| | Express Package Service Packages under 150 lbs. | | |
| | FedEx Priority Overnight (Next business morning) | FedEx Standard Overnight (Next business afternoon) | FedEx 2Day* (Second business day) |
| | FedEx Government Overnight (Authorized use only) | | * FedEx Letter Rate not available. Minimum Charge: One pound FedEx 2Day rate. |
| NEW FedEx First Overnight (Easiest next business morning delivery to select locations) | | | |

| | | | |
|---|---|--|---|
| 4b | Express Freight Service Packages under 150 lbs. | | |
| | FedEx Overnight Freight (Next business day service for any distance) | FedEx 2Day Freight (Second business day service for any distance) | FedEx Express Saver Freight (Up to 3 business day service based upon distance) |
| (Call for delivery schedule. See back for detailed descriptions of freight products.) | | | |

| | | | | | | |
|----------|------------------|-------------------------------------|------------|--------------|---------------|---------------|
| 5 | Packaging | FedEx Declared value limit \$500 | FedEx k | FedEx Box | FedEx Tube | Other Pkg. |
| | | | | | | |

| | | | | | |
|--|---|-----|---|---------------------|--------------------------------------|
| 6 | Special Handling | Yes | (As per attached Shipper's Declaration) | Yes | (Shipper's Declaration not required) |
| | Does this shipment contain dangerous Goods? | | | | |
| Dry Ice | | | CA | Cargo Aircraft Only | |
| Dry Ice, 9 UN 1845 III _____ x _____ kg.904 | | | | | |
| (Dangerous Goods Shipper's Declaration not required) | | | | | |

| | | | | | | |
|-------------------------|----------------|---|-----------|--|-------------|-------|
| 7 | Payment | | | | | |
| | Bill | Sender | Recipient | Third Party | Credit Card | Cash/ |
| | | (Account no. in section 1 will be billed) | | (Enter FedEx Account no. or Credit Card no. Below) | | Check |
| FedEx Account No. _____ | | Exp. Date _____ | | | | |
| Credit Card No. _____ | | | | | | |

| | | |
|---|---------------------|------------------------------|
| Total Packages | Total Weight | Total Declared Value* |
| _____ | _____ | \$ _____ .00 |
| *When declaring a value higher than \$100 per shipment, you pay an additional charge. See SERVICE CONDITIONS, DELCAARED VALUE AND LIMIT OF LIABILITY section for further information. | | |

| | | |
|----------|---|---|
| 8 | Release Signature | Sign to authorize delivery without obtaining signature. |
| | Your signature authorizes Federal Express to deliver this shipment without obtaining a signature and agrees to indemnify and hold harmless Federal Express from any resulting claims. | |
| | | 238 |

WCSL 0696
Rev. Date 3/96
PARST #147956
©1994-96 FedEx
PRINTED IN U.S.A.

Appendix 15
(chapter 4, paragraph 11b)

PS Form 3877

For Accountable Mail

| Name And Address Of Sender | | Indicate type of mail | | | | Check Appropriate block for Registered Mail: | | Affix stamp here if issued as certificate of mailing or for additional copies of this bill. | | | | |
|---|----------------|--|-------------------------------------|-----|--|--|---------------|---|----------|----------|------------|----------------------|
| Line | Article Number | Name of Address, Street, and Post Office Address | Postage | Fee | Handling Charge | Fee (if Regis.) | Insured Value | Due Sender if COD | R.R. Fee | S.D. Fee | S.H.F. Fee | Rest Del Fee Remarks |
| 1 | | | | | | | | | | | | |
| 2 | | | | | | | | | | | | |
| 3 | | | | | | | | | | | | |
| 4 | | | | | | | | | | | | |
| 5 | | | | | | | | | | | | |
| 6 | | | | | | | | | | | | |
| 7 | | | | | | | | | | | | |
| 8 | | | | | | | | | | | | |
| 9 | | | | | | | | | | | | |
| 10 | | | | | | | | | | | | |
| 11 | | | | | | | | | | | | |
| 12 | | | | | | | | | | | | |
| 13 | | | | | | | | | | | | |
| 14 | | | | | | | | | | | | |
| 15 | | | | | | | | | | | | |
| Total Number of Pieces Listed by Sender | | Total Number of Pieces Received of Post Office | POST MASTER, PER (Name of Employee) | | The full declaration of value is required on all domestic and international registered mail. The maximum indemnity payable for the reconstruction of nonnegotiable documents under Express Mail document reconstruction insurance is \$50,000 per piece subject to a limit of \$500,000 per occurrence. The maximum indemnity payable on Express mail merchandise insurance is \$500. The maximum indemnity payable is \$25,000 for registered mail, sent with optional postal insurance. See Domestic Mail Manual 913 and 914 for limitations of coverage on insured and COD mail. See International mail Manual for international mail. Special handling charges apply only to third and fourth class parcels. | | | | | | | |

PS Form 3877

FORM MUST BE COMPLETED BY TYPEWRITER, INK OR BALL POINT PEN

U.S. Government Printing Office: 1992 -- 3000392

(Example only, not actual size)

Appendix 16
(chapter 4, paragraph 9a)

PS Form 3817

| | |
|--|-------------------------------|
| U.S. POSTAL SERVICE | CERTIFICATE OF MAILING |
| MAY BE USED FOR DOMESTIC AND INTERNATIONAL MAIL, DOES NOT PROVIDE FOR INSURANCE -- POSTMASTER | |
| Received From: _____ _____ | |
| One piece of ordinary mail addressed to: _____ _____ _____ | |

Affix fee here in stamps
or meter postage and
post mark. Inquire of
Postmaster for current
fee.

PS Form 3817, Mar. 1989

Appendix 17
(chapter 5, paragraph 1b(2))
Headquarters Mail Codes

| OFFICE | CODE |
|---|-------------|
| OFFICE OF THE ADMINISTRATOR | 2111 |
| Deputy Administrator | 2111 |
| Chief of Staff | 2111 |
| Counselor to the Administrator | 2113 |
| Executive Secretariat | 2114 |
| Office of External Affairs | 2551 |
| | |
| FIELD OPERATIONS | 2770 |
| | |
| ADVOCACY | 3111 |
| Office of the Chief Counsel | 3111 |
| Office of the Deputy Chief Counsel | 3111 |
| Office of Economic Research | 3111 |
| Office of Information | 3111 |
| Office of Interagency Affairs | 3111 |
| Policy Advocates | 3111 |
| | |
| GENERAL COUNSEL | 2221 |
| Office of the General Counsel | 2221 |
| Office of Finance and Legislation | 2221 |
| Office of General Law | 2221 |
| Office of Litigation | 2221 |
| Office of SBIC Litigation and Field Operations | 2221 |
| Law Library | 2221 |
| | |
| COMMUNICATIONS AND PUBLIC LIAISON | 2551 |
| | |
| OFFICE OF NATIONAL ADVISORY COUNSEL | 2660 |
| | |
| PUBLIC COMMUNICATIONS, MARKETING AND CUSTOMER SERVICE | 2556 |
| Office of the Associate Administrator | 2556 |
| Office of Media Services | 2556 |
| Graphics | 2556 |
| Product Development and Training | 2556 |
| Market Research | 2556 |
| | |
| CONGRESSIONAL AND LEGISLATIVE AFFAIRS | 2330 |
| | |
| HEARING AND APPEALS | 2441 |

| | |
|--|-------------|
| Office of the Assistant Administrator | 2441 |
| Hearing Examiner | 2441 |
| OFFICE | CODE |
| Size Appeals | 2441 |
| Office of Freedom of Information/Privacy Acts | 2441 |
| | |
| DISASTER ASSISTANCE | 2991 |
| | |
| EQUAL EMPLOYMENT OPPORTUNITY AND CIVIL RIGHTS COMPLIANCE | 2882 |
| Office of the Assistant Administrator | 2882 |
| Office of Equal Employment Opportunity | 2882 |
| Office of Civil Rights Compliance | 2882 |
| | |
| INSPECTOR GENERAL | 4111 |
| Office of the Inspector General | 4111 |
| Auditing Division | 4112 |
| Investigations Division | 4113 |
| Management and Legal Counsel | 4114 |
| Inspections and Evaluation Division | 4115 |
| | |
| CHIEF FINANCIAL OFFICER | 5111 |
| Immediate Office | 5111 |
| Planning and Budget Staff | 5111 |
| Policy Analysis Group | 5111 |
| Budget Analysis Group | 5111 |
| Systems Integration Group | 5111 |
| Financial Administration Staff | 5111 |
| | |
| FINANCIAL OPERATIONS DENVER, COLORADO | 5115 |
| Office of Financial Operations | 5115 |
| Administrative Accounting Branch | 5115 |
| HELP DESK | 5115 |
| Information Management Group | 5115 |
| Programmatic Accounting Group | 5115 |
| ACTION DESK | 5115 |
| | |
| MANAGEMENT AND ADMINISTRATION | |
| Office of the Associate Deputy Administrator | 5101 |
| | |
| ADMINISTRATION | |
| Office of the Assistant Administrator | 5331 |
| Procurement and Grants Management | 5331 |
| Administrative Services | 5331 |
| | |

| OFFICE | CODE |
|---|-------------|
| | |
| HUMAN RESOURCES | 5221 |
| Office of the Assistant Administrator | 5221 |
| Guidance, Innovation and Review Division | 5221 |
| Human Resources Operation Division | 5221 |
| Human Resources Systems and Special Projects Division | 5221 |
| | |
| INFORMATION RESOURCES MANAGEMENT | 5461 |
| Office of the Assistant Administrator | 5461 |
| Office of Planning, Policy and Quality Management | 5461 |
| Office of Communications Technology Services | 5461 |
| Productivity Enhancement Staff | 5461 |
| Office of Information Systems Support | 5461 |
| Field Information Technology Specialists (FITS) | 5461 |
| | |
| ECONOMIC DEVELOPMENT | 7101 |
| | |
| BUSINESS INITIATIVES | 7111 |
| Office of the Associate Administrator | 7111 |
| Business Education and Resource Management | 7111 |
| Special Initiatives | 7111 |
| | |
| NATIONAL SCORE | 7116 |
| | |
| FINANCIAL ASSISTANCE | 7881 |
| Office of the Associate Administrator | 7881 |
| Office of Loan Programs | 7881 |
| Office Program Development | 7881 |
| Office of Borrower and Lender Servicing | 7881 |
| Office of Operations | 7881 |
| | |
| INTERNATIONAL TRADE | 7550 |
| Office of the Assistant Administrator | 7550 |
| Export Finance and Development | 7550 |
| | |
| INVESTMENT DIVISION | 7940 |
| Office of the Associate Administrator | 7940 |
| Office of SBIC Examinations | 7940 |
| Office of SBIC Operations | 7940 |
| Office of SBIC Liquidation | 7940 |
| Account Resolution Branch | 7940 |
| Office of Chief Administration Officer | 7940 |
| OFFICE | CODE |
| | |

| | |
|--|-------------|
| Data Management Branch | 7940 |
| | |
| NATIVE AMERICAN AFFAIRS | 7102 |
| | |
| SMALL BUSINESS DEVELOPMENT CENTERS | 7770 |
| Office of the Associate Administrator | 7770 |
| Grants Management and Evaluation | 7770 |
| Program Operations and Liaison | 7770 |
| | |
| SURETY GUARANTEES | 7950 |
| Office of the Associate Administrator | 7950 |
| Operations Assistance Staff | 7950 |
| Underwriting/Outreach Division | 7950 |
| Claims and Recover Division | 7940 |
| | |
| VETERANS AFFAIRS | 7220 |
| | |
| WOMEN'S BUSINESS OWNERSHIP | 7332 |
| | |
| NATIONAL WOMEN'S BUSINESS COUNSEL | 8300 |
| | |
| GOVERNMENT CONTRACTING AND MINORITY ENTERPRISE DEVELOPMENT | |
| Office of the Associate Deputy Administrator | 6101 |
| | |
| GOVERNMENT CONTRACTING | |
| Office of the Associate Administrator | 6251 |
| Office of Industrial Assistance | 6251 |
| Office of Natural Resources Sales Assistance | 6251 |
| Office of Prime Contracts | 6251 |
| Procurement Automated Source System (PASS) | 6251 |
| Office of Procurement Policy and Liaison | 6251 |
| | |
| MINORITY ENTERPRISE DEVELOPMENT | |
| Office of the Associate Administrator | 6361 |
| Office of Business Development | 6361 |
| Office of Certification and Eligibility | 6361 |
| Office of Program Development | 6361 |
| | |
| SIZE STANDARDS STAFF | 6880 |
| | |
| OFFICE | CODE |
| | |
| TECHNOLOGY | |
| Office of the Assistant Administrator | 6470 |

| | |
|---|------|
| | |
| DISASTER ASSISTANCE/AREA DISASTER OFFICE | |
| Area 1 - Niagara Falls, NY | 9010 |
| Area 2 - Atlanta, GA | 9020 |
| Area 3 - Ft. Worth, TX | 9030 |
| Area 4 - Sacramento, CA | 9040 |
| | |
| BORROWER AND LENDER SERVICING | |
| Birmingham Home Loan Servicing Center | 0429 |
| St. Thomas Post of Duty | 0498 |
| New York Home Loan Servicing Center | 0228 |
| El Paso Home Loan Servicing Center | 0632 |
| Santa Ana Loan Servicing and Liquidation Office | 0927 |
| Fresno Commercial Loan Servicing Center | 0992 |
| Little Rock Commercial Loan Servicing Center | 0626 |
| | |
| | |

Appendix 18
(chapter 5, paragraph 1b(2))
Field Office Mail Codes

| OFFICE | STATE | CODE |
|------------------------------|--------------|-------------|
| REGION I | | |
| Boston Regional Office | MA | 0100 |
| Augusta District Office | MA | 0172 |
| Boston District Office | MA | 0101 |
| Concord District Office | CT | 0189 |
| Hartford District Office | CT | 0156 |
| Montpelier District Office | VT | 0150 |
| Providence District Office | RI | 0165 |
| Springfield Branch Office | MA | 0127 |
| REGION II | | |
| New York Regional Office | NY | 0200 |
| Buffalo District Office | NY | 0296 |
| Hato Rey District Office | PR | 0252 |
| New York District Office | NY | 0202 |
| Newark District Office | NJ | 0299 |
| Syracuse District Office | NY | 0248 |
| Elmira Branch Office | NY | 0206 |
| Melville Branch Office | NY | 0235 |
| Rochester Branch Office | NY | 0219 |
| St. Croix Post-of-Duty | VI | 0253 |
| St. Thomas Post-of-Duty | VI | 0254 |
| REGION III | | |
| Philadelphia Regional Office | PA | 0300 |
| Baltimore District Office | MD | 0373 |
| Clarksburg District Office | WV | 0390 |
| Philadelphia District Office | PA | 0303 |
| Pittsburgh District Office | PA | 0358 |
| Richmond District Office | VA | 0304 |
| Washington District Office | DC | 0353 |
| Charleston Branch Office | WV | 0325 |
| Harrisburg Branch Office | PA | 0316 |
| Wilkes-Barre Branch Office | PA | 0318 |
| Wilmington Branch Office | DE | 0341 |
| REGION IV | | |
| Atlanta Regional Office | GA | 0400 |
| Atlanta District Office | GA | 0405 |
| OFFICE | STATE | CODE |

| | | |
|-------------------------------|--------------|-------------|
| Birmingham District Office | GA | 0459 |
| Charlotte District Office | NC | 0460 |
| Columbia District Office | SC | 0464 |
| Jackson District Office | MS | 0470 |
| Jacksonville District Office | FL | 0491 |
| Louisville District Office | KY | 0457 |
| Miami District Office | FL | 0455 |
| Nashville District Office | KY | 0474 |
| Gulfport Branch Office | MS | 0438 |
| | | |
| REGION V | | |
| Chicago Regional Office | IL | 0500 |
| Chicago District Office | IL | 0507 |
| Cleveland District Office | OH | 0549 |
| Columbus District Office | OH | 0593 |
| Detroit District Office | MI | 0515 |
| Indianapolis District Office | IN | 0562 |
| Madison District Office | WI | 0563 |
| Minneapolis District Office | MN | 0508 |
| Cincinnati Branch Office | OH | 0545 |
| Milwaukee Branch Office | WI | 0543 |
| Marquette Branch Office | MI | 0547 |
| Springfield Branch Office | IL | 0517 |
| | | |
| REGION VI | | |
| Dallas Regional Office | TX | 0600 |
| Albuquerque District Office | NM | 0682 |
| Dallas District Office | TX | 0610 |
| El Paso District Office | TX | 0677 |
| Houston District Office | TX | 0671 |
| Little Rock District Office | AR | 0669 |
| Harlingen District Office | TX | 0639 |
| Lubbock District Office | TX | 0678 |
| New Orleans District Office | LA | 0679 |
| Oklahoma City District Office | OK | 0680 |
| San Antonio District Office | TX | 0681 |
| Corpus Christi Branch Office | TX | 0637 |
| | | |
| REGION VII | | |
| Kansas City Regional Office | MO | 0700 |
| Cedar Rapids District Office | IA | 0736 |
| Des Moines District Office | IA | 0761 |
| OFFICE | STATE | CODE |
| Kansas City District Office | MO | 0709 |
| Omaha District Office | NE | 0766 |

| | | |
|--------------------------------|--------------|-------------|
| St. Louis District Office | MO | 0768 |
| Wichita District Office | KS | 0767 |
| Springfield Branch Office | MO | 0721 |
| | | |
| REGION VIII | | |
| Denver Regional Office | CO | 0800 |
| Casper District Office | WY | 0897 |
| Denver District Office | CO | 0811 |
| Fargo District Office | ND | 0875 |
| Helena District Office | MT | 0885 |
| Salt Lake City District Office | UT | 0883 |
| Sioux Falls District Office | SD | 0876 |
| | | |
| REGION IX | | |
| San Francisco Regional Office | CA | 0900 |
| Fresno District Office | CA | 0942 |
| Honolulu District Office | HI | 0951 |
| Las Vegas District Office | NV | 0944 |
| Glendale District Office | CA | 0914 |
| Phoenix District Office | AZ | 0988 |
| Sacramento District Office | CA | 0931 |
| San Diego District Office | CA | 0954 |
| San Francisco District Office | CA | 0912 |
| Santa Ana District Office | CA | 0920 |
| Agana Branch Office | GU | 0995 |
| | | |
| REGION X | | |
| Seattle Regional Office | WA | 1000 |
| Anchorage District Office | AK | 1084 |
| Boise District Office | ID | 1087 |
| Portland District Office | OR | 1086 |
| Seattle District Office | WA | 1013 |
| Spokane District Office | WA | 1094 |
| | | |
| AREA DISASTER OFFICES | | |
| DAO 1 - Niagara Falls | NY | 9010 |
| DAO 2 - Atlanta | GA | 9020 |
| DAO 3 - Ft. Worth | TX | 9030 |
| DAO 4 - Sacramento | CA | 9040 |
| | | |
| OFFICE | STATE | CODE |
| | | |
| LOAN SERVICING CENTERS | | |
| Birmingham | AL | 0429 |
| El Paso | TX | 0632 |

| | | |
|-------------|----|------|
| Little Rock | AR | 0626 |
| New York | NY | 0288 |
| Santa Ana | CA | 0927 |
| Fresno | CA | 0992 |
| | | |
| | | |
| | | |
| | | |
| | | |


Appendix 20
(chapter 5, paragraph 8b(2))

| MAILING PERMIT APPLICATION AND CUSTOMER PROFILE | | | | | Permit Imprint Authorization (See instructions on reverse) | |
|---|---------------|---|---------------|---|--|---|
| (PS Form 3615) | | | | | | |
| A. Applicant Information (Please print or type) | | | | | Permit Number | |
| 1. Individual or Company Name | | | | | Date Permit Issued | |
| 2. Applicant's Signature | | | | | Fee Due \$ | |
| 3. Date | | | | | AIC 140 | |
| 4. Address (Street and number, apt. or suite no., city, state, and ZIP+4) | | | | | Please Keep This Card for Your Records | |
| 5. Other Names Under Which Company Does Business (If applicable) | | | | | Postmaster or Designee Signature | |
| 6. Contact Person | | | | | Precanceled Stamps Authorization or Notification to Present Metered Mail in Bulk (See Instructions on reverse) | |
| 7. Federal Agency Cost Code (If applicable) | | | | | Permit Number | |
| 8. Telephone () | | | | | Date Permit Issued | |
| 9. Will Present Plant Verified Drop Shipment (PVDS)? <input type="checkbox"/> Yes <input type="checkbox"/> No | | | | | | |
| B. Check Type of Permit/Authorization Requested | | | | | Please Keep This Card for Your Records | |
| ▼ For Postal Service Use ▼ | | | | | | |
| 1. Permit Imprint Authorization (Fee applies) Company <input type="checkbox"/> First-Class <input type="checkbox"/> Standard (A) <input type="checkbox"/> Standard (B) <input type="checkbox"/> Permit | Permit Number | Date Issued | Date Fee Paid | Sample Approved | Postmaster or Designee Signature | |
| 2. Precanceled Stamp or Government Precanceled Stamped <input type="checkbox"/> Envelope Authorization (No fee) | | | | | Business Reply Mail Authorization (See Instructions on reverse) | |
| Mailer Precanceled Postmark/Preprinted Rate Markings Authorizations (No fee) | | | | | Permit Number | Date Permit Issued |
| <input type="checkbox"/> Notification to Present Metered Mail in Bulk (No fee) | | | | | Fee Due \$ | AIC 134 |
| Class of Mail <input type="checkbox"/> First-Class <input type="checkbox"/> Standard (A) <input type="checkbox"/> Standard (B) | | | | | BRM w/Advance Deposit Account | AIC 116 |
| 3. <input type="checkbox"/> Business Reply Mail (BRM) Authorization (Fee applies) | | | | | Please Keep This Card for Your Records | |
| a. Post office where BRM will be received | | | | | Postmaster or Designee Signature | |
| b. Post office where BRM permit number was issued and annual fee was paid, if applicable | | | | | Merchandise Return Service Authorization (See instructions reverse) | |
| <input type="checkbox"/> BRM Advance Deposit Account <input type="checkbox"/> BRMAS Approved (Fee applies) | | | | | Permit Number | Date Permit Issued |
| 4. <input type="checkbox"/> Merchandise Return Service (MRS) Authorization (Fee applies) | | | | | Fee Due \$ | AIC 141 |
| a. Type of Application <input type="checkbox"/> Initial <input type="checkbox"/> Reapplication | | b. Return Location <input type="checkbox"/> Single <input type="checkbox"/> Multiple | | c. Advance Deposit Account <input type="checkbox"/> Each Location <input type="checkbox"/> Centralized | | Please Keep This Card for Your Records |
| d. Permit Applied For <input type="checkbox"/> First-Class /Priority <input type="checkbox"/> Standard (A) | | Special Parcel <input type="checkbox"/> Standard (B) <input type="checkbox"/> Post | | <input type="checkbox"/> Bound Printed Matter <input type="checkbox"/> Library Rate | | Postmaster or Designee Signature |

(Example only, not actual size)

Appendix 21
(chapter 6, paragraph 7c)

SBA Form 567

| | | |
|---|---|-----------------------------|
|  | U. S. SMALL BUSINESS ADMINISTRATION REQUEST FOR SPECIAL HANDLING SERVICES <i>(For Courier, Overnight or Ground Service)</i> | |
| 1. Today's Date Office | Contact Person Telephone Number Mail Code | |
| 2. SPECIAL SERVICE REQUESTED <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input type="checkbox"/> Regular Courier Service Delivery within 4 hours <input type="checkbox"/> Priority Courier Service Delivery within hours DELIVERY TO OUTSIDE <input type="checkbox"/> Delivery Time PICK UP FROM OUTSIDE Pick Up Time </div> <div style="width: 45%;"> <input type="checkbox"/> Overnight <input type="checkbox"/> Weekend Delivery GROUND SERVICE <input type="checkbox"/> (UPS/ROADWAY) (For boxes not requiring same day <input type="checkbox"/> or next day service) </div> </div> | | |
| 3. JUSTIFICATION FOR SPECIAL HANDLING SERVICES <div style="display: flex; justify-content: space-between; margin-top: 20px;"> <div style="width: 33%; border-top: 1px solid black; text-align: center;">Signature of Requesting Official</div> <div style="width: 33%; border-top: 1px solid black; text-align: center;">Office Director or Above</div> <div style="width: 33%; border-top: 1px solid black; text-align: center;">Date</div> </div> | | |
| 4. ADDRESS Agency/Company Addressee <div style="text-align: right; margin-right: 100px;"> Telephone Room No. </div> | | |
| 5. REMARKS | | |
| FOR MAILROOM USE ONLY | | |
| <p>The Private Express Statutes, located in Title 39 of the Code of Federal Regulations, parts 310 and 320, allow for the use of commercial overnight mail delivery for letters only if they are extremely urgent. This provision can be used if the value of the letter would be lost or greatly diminished if it is not delivered within 12 hours or by noon of the addressee's next business day.</p> | | |
| Time Picked Date Picked | | |
| Signature of Mailroom Personnel | Date | Signature of Courier/Driver |

SBA Form 567 (3-94) Previous Editions

H PRINTED ON RECYCLED PAPER

Appendix 22
(chapter 8, paragraph 2)
UNITED STATES SMALL BUSINESS ADMINISTRATION
COSPONSORSHIP AGREEMENT (Page 2 of 3)

8. SBA will possess an irrevocable non-exclusive, worldwide, royalty-free license to use any copyrighted material developed for the activity.
9. SBA will not make available to a cosponsor any mailing lists of small business concerns existing prior to the activity.
10. Cosponsors who are public officials or candidates for public office will not include political comment as part of their participation.
11. Cosponsors who have a pre-existing business relationship with SBA understand that cosponsoring this activity creates no special consideration by SBA regarding any other matter.
12. All sponsorship materials bearing the SBA Name, Logo, or Seal must display must display the authorization number shown above, be approved in advance by SBA and contain the following statements:
- (1) "SBA's participation in this Cosponsorship is not an endorsement of the views, opinions, products, or services of any cosponsor or other person or entity." (2) "All SBA programs or cosponsored programs are extended to the public on a nondiscriminatory basis." (3) (applicable if the activity involves personal attendance) "Reasonable arrangements for persons with disabilities will be made, if requested at least 2 weeks in advance.

Contact: _____
 (name, address and telephone)

13. The parties agree that each will do the following in support of the activity:

(a) SBA will _____

(b) Cosponsor # 1 will _____

(c) Cosponsor # 2 will _____

(Responsibilities of any additional cosponsors are described on an attached sheet.)

14. A budget showing anticipated sources of funds and estimated expenditures is attached and will be followed to the extend practicable.

15. This agreement can only be amended in writing, and any amendment must be agreed to by all parties to this agreement who are affected by it.

Appendix 22
(chapter 8, paragraph 2)
UNITED STATES SMALL BUSINESS ADMINISTRATION
COSPONSORSHIP AGREEMENT (Page 3 of 3)

16. Any party may terminate its participation in the Cosponsorship upon written notice to the other parties. Such termination will not require changes to materials already produced, and will not entitle the terminating party to a return of funds or property contributed. If SBA withdraws from the Cosponsorship because of a violation of this Agreement by any cosponsor, it reserves the right to give appropriate notice to the public.

17. SBA's contact person for purposes of this activity is _____

The contact person for Cosponsor # 1 is _____

The contact person for Cosponsor # 2 is _____

(The contact persons for any additional cosponsors are shown on an attached sheet.)

18. Each of the persons executing this agreement represents that he or she has the authority to enter into this agreement on behalf of the entity involved.

Executed by:

SBA: By: _____ (Name) _____ (Date)

_____ (Name) _____ (Date)

Cosponsor # 1: By _____ (Name) _____ (Date)

_____ (Title)

Cosponsor # 2: By _____ (Name) _____ (Date)

_____ (Title)

Other cosponsors (show name, title, and date below):

Appendix 23 (chapter 9, paragraph 2)

Bombs by Mail

The likelihood of your ever receiving a bomb in the mail is remote. Unfortunately, however, a small number of explosive devices have been mailed over the years resulting in death, injury, and destruction of property.

What can you do to help prevent a mail bomb disaster? First, consider whether you or your organization could be a possible target. Some revenge, extortion, love triangles, terrorism, and business disputes.

Keep in mind that a bomb can be enclosed in either a parcel or an envelope, and its outward appearance is limited only by the imagination of the sender. However, mail bombs have some unique characteristics which may assist you in identifying a suspect mailing. To apply these factors, it is important to know the type of mail your organization and your home receive.

- ✱ Mail bombs may bear restricted endorsements such as "Personal" or "Private." This factor is important when the addressee does not usually receive personal mail at the office.
- ✱ Addressee's name/title may be inaccurate.
- ✱ Return address may be fictitious.
- ✱ Mail bombs may reflect/distorted handwriting or the name and address may be prepared with homemade labels or cut-and-paste lettering.

- ✱ Mail bombs may have protruding wires, aluminum foil, or oil stains and may emit a peculiar odor.
- ✱ Cancellation or postmark may show a different location than the return address.
- ✱ Mail bombs may have excessive postage.
- ✱ Letter bombs may feel rigid, or appear uneven or lopsided.
- ✱ Parcel bombs may be unprofessionally wrapped with several combinations of tape used to secure the package and may be enclosed "Fragile-Handle with Care" or "Rush-Do Not Delay."
- ✱ Package bombs may have an irregular shape, soft spots, or bulges.
- ✱ Package bombs may make a buzzing or ticking noise or a sloshing sound.
- ✱ Pressure or resistance may be noted when removing contents from an envelope or parcel.

Phone Numbers:

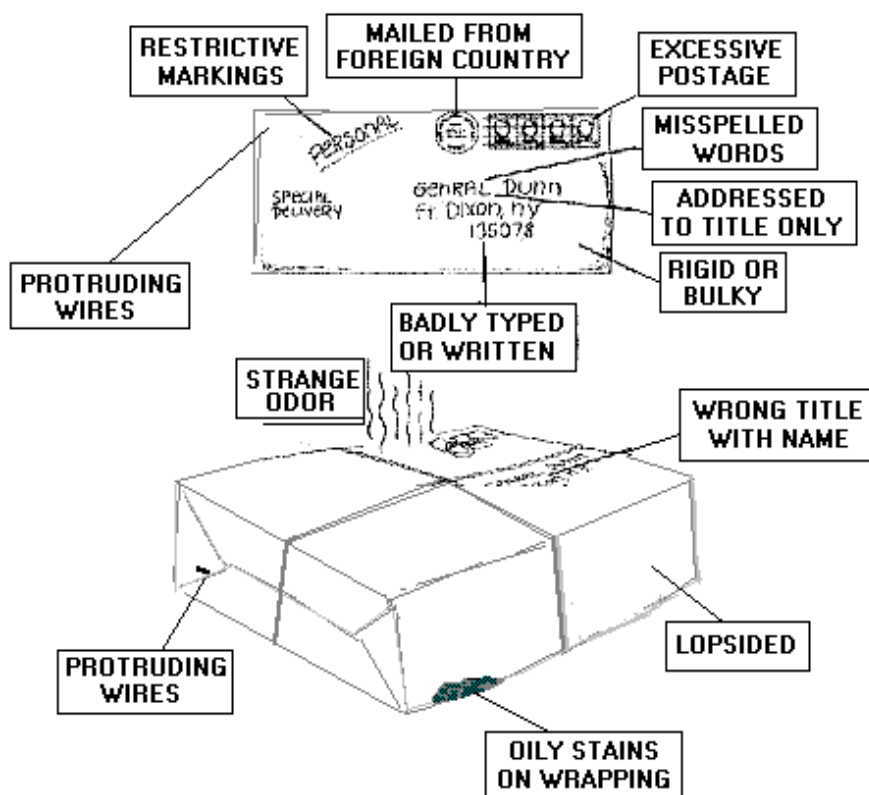
Police

Postal Inspector

Reprinted with Permission of the USPS Postal Inspector Service.

Appendix 24
(chapter 9, paragraph 2)

Letter and Package Bomb Indicators



Printed with the permission of the Director USPS

